Exchange Fee System (EFS)
User Manual

6/22/2015

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What's New

The list below illustrates the updates made to the EFS User Manual.

Date	Author	Topic	Description
6/22/15	MR	Logging In and Out	Legacy ID claiming period has ended. Users should access the application using their SMART Click ID only.
5/10/15	MR	Various	This is the initial release of the EFS user manual .

Please submit user experience feedback about this user guide.

Getting Started

The Exchange Fee System (EFS) application is used by clearing firm fee administrators to:

- View , edit and allocate transactions
- Maintain account and electronic Trader ID registrations
- View and reconcile transaction fees

Obtain Access

To request access to the Exchange Fee System, fax a completed System Access Request Form to the CME Group Customer Support Group. Please allow 24-48 hours for processing.

EFS Tutorials

EFS tutorials provide an in-depth overview of fee system functionality for the applications within EFS. Users can access Exchange Fee System tutorials on the CME Group website or the following list:

- Tutorial Guide - Links and a list of available tutorials, application access, and a short description of modules and their functions.

  Click one of the following links to view the video.

- Introduction
  - How to navigate and use the tutorials
  - What is EFS
  - Accessing the application
  - Logging in
  - Home Page layout
- Account Maintenance
  - Descriptions of Accounts - Main, Trading, Owner, Controller
  - Searching, viewing, adding, editing, moving, updating accounts
  - Mass expiration
- Transaction Viewer
  - Basic / Advanced Search
  - Viewing / Editing trades
  - Recalculation
  - Editing Trader IDs
  - Viewing Non-Trades
- Allocations
  - Searching filters
  - Reallocation / Allocations
- Globex Registration
  - Registering Individuals and ATS Teams, including Operator IDs
  - Searching and Modifying Registration information

- Reports
  - Report types
  - Advanced reports
  - Viewing reports and report criteria
- Membership Information
  - Firm / Member detail / Incentive / Corporate membership program search
  - Recent Updates
- Adjustments
  - Creating a request
  - Adjustment template
  - Searching and Editing manual adjustments

Logging In and Out

EFS uses SMART Click to manage application authentication. SMART Click is a self-managed, centralized user profile service that authenticates access to CME Group applications and services.

SMART Click offers the following benefits:

- Access to all SMART Click integrated systems, to which the user ID has assigned privileges, with one user ID and password.
- A single user ID with permissions for multiple firms, when appropriate.
- A personally chosen user ID that is retained by the user even when changing employers or firm relationships.
- The ability to self-manage SMART Click password and update SMART Click profiles online.
- Access to other integrated applications via a common navigation menu.

To register for a SMART Click ID:

For registration instructions, refer to the SMART Click webhelp / user manual.

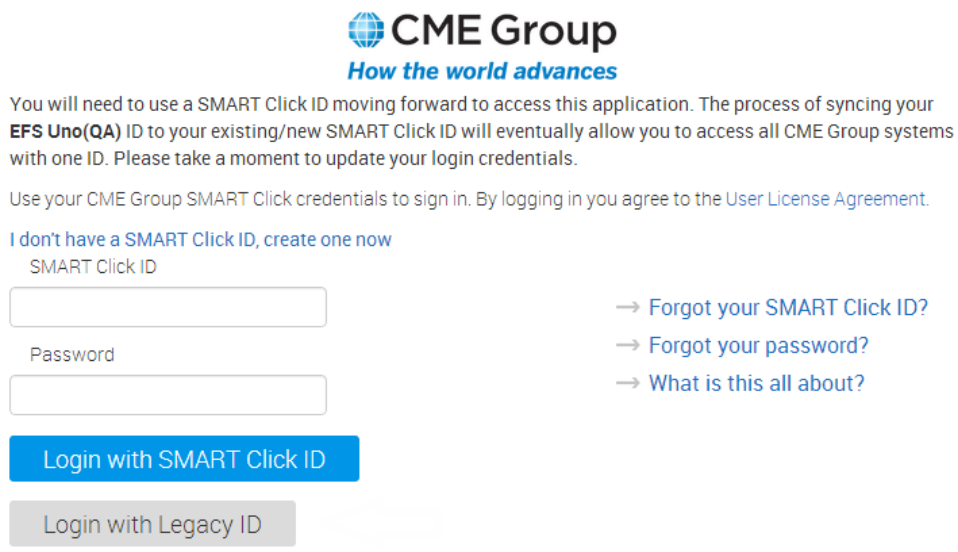
Support

For SMART Click registration issues or problems accessing EFS contact Enterprise Application & System Entitlements (EASE).

To log in to EFS:

1. To access the EFS application, open an internet browser and navigate to the following address: https://efs.cmegroup.com.

   The SMART click login page appears.


CME Group
How the world advances
You will need to use a SMART Click ID moving forward to access this application. The process of syncing your EFS Uno(QA) ID to your existing/new SMART Click ID will eventually allow you to access all CME Group systems with one ID. Please take a moment to update your login credentials.
Use your CME Group SMART Click credentials to sign in. By logging in you agree to the User License Agreement.
I don't have a SMART Click ID, create one now
SMART Click ID
Password
Forgot your SMART Click ID?
Forgot your password?
What is this all about?
Login with SMART Click ID
Login with Legacy ID

2. Enter the **SMART Click ID** and **Password**, then click **Login**.

   NOTE: If you do not have a SMART Click ID, refer to the registration instructions. For issues accessing SMART Click contact: Enterprise Application & System Entitlements (EASE).

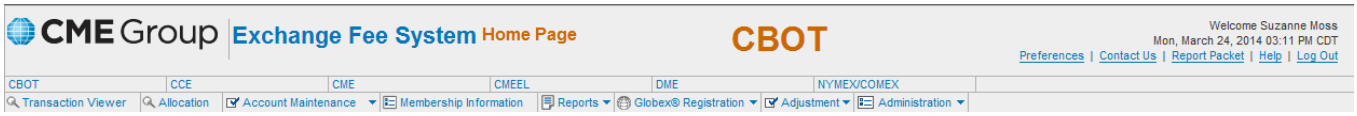
   Upon successful login, the EFS Homepage appears.

Logging Out

To Exit the Exchange Fee System, click the **Log Out** link.

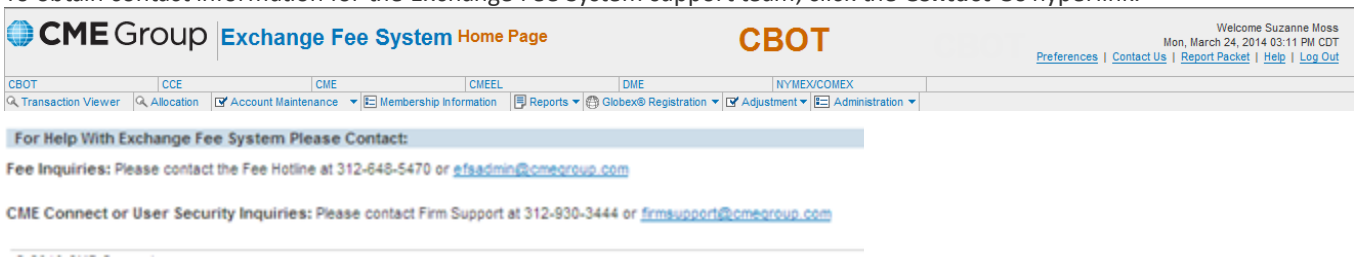
Help

To display the EFS Webhelp / User Manual, click the application **Help** link.



Support Contacts

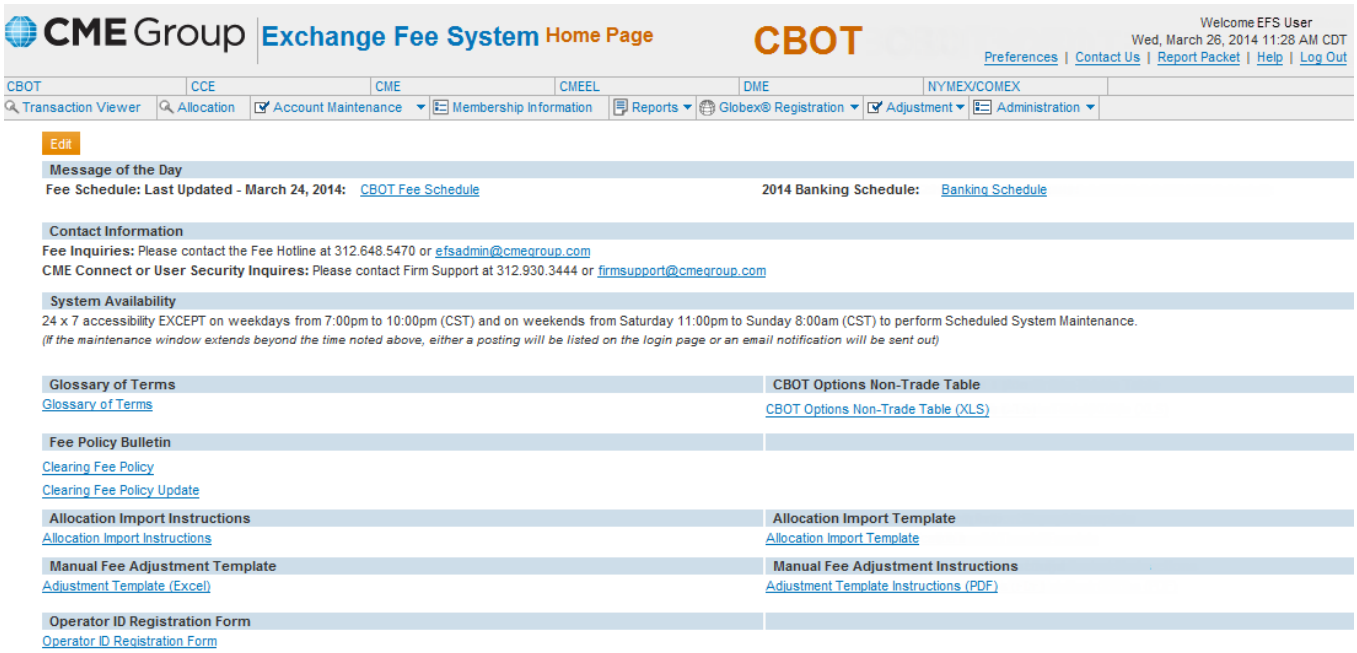
To obtain contact information for the Exchange Fee System support team, click the **Contact Us** hyperlink.



- For EFS support and troubleshooting, contact the Fee Hotline.
- For CME Connect or User Security Inquiries, contact General Customer support.

EFS Homepage

Once successfully logged in to the application, the EFS Homepage appears.


CME Group
Exchange Fee System Home Page
CBOT
Welcome EFS User
Wed, March 26, 2014 11:28 AM CDT
Preferences | Contact Us | Report Packet | Help | Log Out
CBOT
CCE
CME
CMEEL
DME
NYMEX/COMEX
Transaction Viewer
Allocation
Account Maintenance
Membership Information
Reports
Globex® Registration
Adjustment
Administration
Edit
Message of the Day
Fee Schedule: Last Updated - March 24, 2014: CBOT Fee Schedule
2014 Banking Schedule: Banking Schedule
Contact Information
Fee Inquiries: Please contact the Fee Hotline at 312.648.5470 or efsadmin@cmegroup.com
CME Connect or User Security Inquires: Please contact Firm Support at 312.930.3444 or firmsupport@cmegroup.com
System Availability
24 x 7 accessibility EXCEPT on weekdays from 7:00pm to 10:00pm (CST) and on weekends from Saturday 11:00pm to Sunday 8:00am (CST) to perform Scheduled System Maintenance.
(If the maintenance window extends beyond the time noted above, either a posting will be listed on the login page or an email notification will be sent out)
Glossary of Terms
Glossary of Terms
CBOT Options Non-Trade Table
CBOT Options Non-Trade Table (XLS)
Fee Policy Bulletin
Clearing Fee Policy
Clearing Fee Policy Update
Allocation Import Instructions
Allocation Import Instructions
Allocation Import Template
Allocation Import Template
Manual Fee Adjustment Template
Adjustment Template (Excel)
Manual Fee Adjustment Instructions
Adjustment Template Instructions (PDF)
Operator ID Registration Form
Operator ID Registration Form

Note the following EFS features:

- **Multi-Exchange Accessible** – Firms will be able to access CBOT, CCE, CME, CMEEL, DME, and/or NYMEX/COMEX based on the user's security access.
- **Homepage Information** – The CME Group fee team utilizes this screen to communicate important messages to the Users. Information on this page is subject to change, but will display such items as the Fee Schedule, Banking Schedule, Contact Information, System Availability, Glossary of Terms, etc.
- **Help** – click on the Help link on the top right corner of the page (on any EFS screen) to be directed to the EFS User Manual. If further help is needed, please call the EFS Hotline at 312-648-5470 or email EFSAdmin@cmegroup.com.

The Exchange Fee System offers 24x7 accessibility with the exception of week days from 7:00 to 10:00 p.m. (CST) to perform scheduled maintenance. If the maintenance window extends beyond this time, a message will be listed on the home page.

Navigation within EFS is driven by the top menu bar. The user first selects the appropriate Exchange, and then within that Exchange, selects the appropriate function to be performed.

The EFS homepage also includes a link to the CME Group website.

Select the **CME Group** logo in the top left corner to be redirected to the CME Group website (www.cmegroup.com).

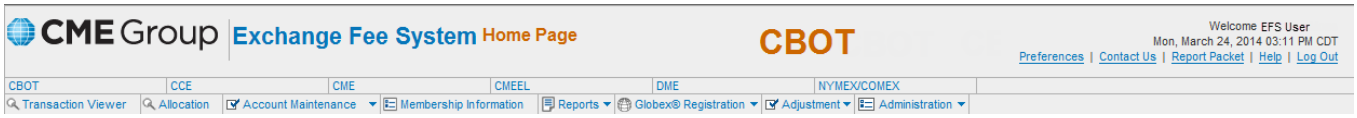
Select the **Exchange Fee System** logo at the top of any page to be redirected to the homepage of that Exchange.

Transaction Viewer

The **Transaction Viewer** screen offers both basic and advanced search options to View Trades, Edit Trades, Edit Trader ID, and View Non-Trades (Exercises, Assignments, Deliveries, Expired Options, Cash Settlements and Futures from Exercise and Assignment).

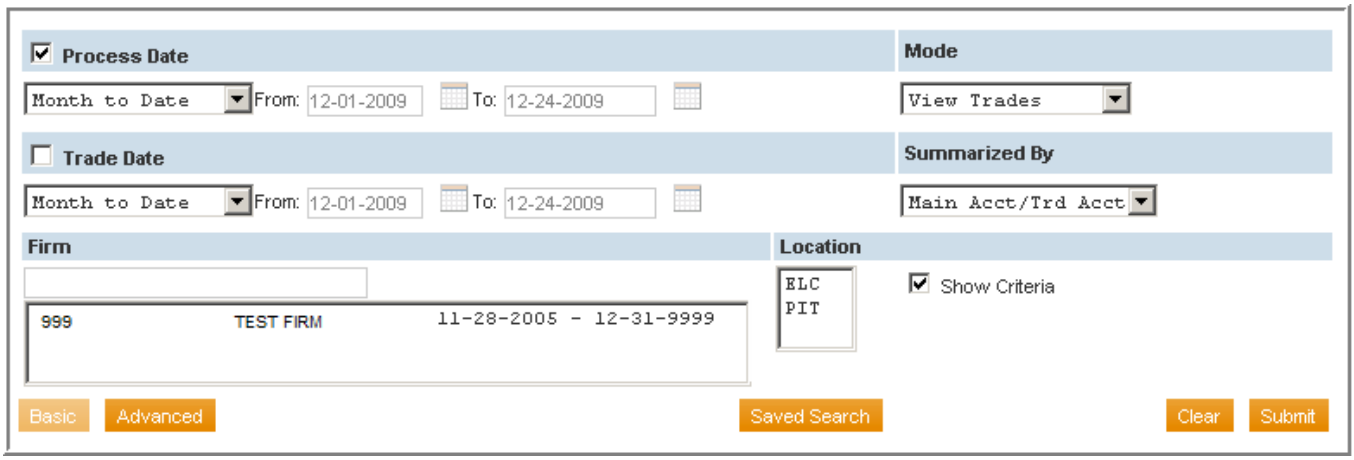
Accessing Transaction Viewer

To access **Transaction Viewer** select the option from the navigation menu.



Performing a Basic Search for Trades

When the Transaction Viewer link is chosen from the EFS Homepage, the Transaction Viewer's basic search page appears.



Transaction Viewer Main Page/Basic Search Page

NOTE: For more information refer to Saved Search.

To conduct a Basic Search:

Two fields are required in order to complete a basic search: Date and Firm. If one or more of these fields are left blank, an error message will appear. For the best search results, all fields should be completed, however, if not modified, the default fields will be used for the Date, Mode, and Summarized By selections. The Location field will default to both Pit and Electronic if left blank.

1. Select a check box for **Process Date** and/or **Trade Date** identifying the date search criteria.
2. Select the Mode identifying the action to be taken.
3. Select the criteria by which the results should be organized in the **Summarized By** field.
4. Select a **Firm**.
5. Select the **Location** of the transaction, if applicable.
6. Click the **Show Criteria** box to view the search criteria on the results page.
7. Once the search criteria are defined, click **Submit** to execute the search and retrieve the data.

   The User will receive a message indicating that the search is in progress.

NOTE: Refer to section Errors in Selecting Search Criteria for more information about Error Messages.

Date Selection

A date selection is required to execute a search. Limit the search using Process Date and/or Trade Date by checking the box in front of one or both of these date selections.

Transaction Viewer Date Selection Descriptions

SELECTION	DESCRIPTION
Month to Date	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day. **NOTE**: Dates cannot be changed while in the Month-To-Date mode.
Equals	Equals specifies only one day. The system default displays the prior trading day.
Between	Between specifies the beginning and end dates for a date range. **NOTE**: With a "Between" search criteria, it is only possible to view a maximum of one calendar month at a time.
Last Month	Last Month defaults the beginning and end dates to the first and last days of the previous month.
Two Months Ago	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
Three Months Ago	Three Months Ago defaults the beginning and end dates to three months prior to the current month. **NOTE**: Data viewed Three Months Ago is outside of the open adjustment period and therefore cannot be edited.

When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and entering the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field.

To view the calendar window, click the **calendar** icon.

Mode Selection

Select the Mode using the drop-down menu.

- **View Trades** allows the User to view all transactions as read-only.
- **Edit Trades** allows the User to view and submit trades for recalculation, or to change trading accounts.

- **Edit Trader ID** allows the User to view transactions by a specific trader and change the Trader ID for both pit and electronic trades. NOTE: With this mode the user can only summarize the data by Trader ID or by Trader ID/Trade Account.
- **View Non-Trades** allows the User to view all non-trade activity such as Exercises, Assignments, Deliveries, Expirations, Cash Settlements and Futures from Exercise/Assignment.

Summarized By Selection

Select how to sort the data by choosing an option from the Summarized By drop-down menu.

- **Main Account/Trade Account** summarizes data by Main Account and then by Trading Account.
- **Trading Account** summarizes data by Trading Account.
- **Trader ID/Trading Account** summarizes data by Trader ID and then by Trading Account.
- **Product** summarizes data by commodity code.
- **Trader ID** summarizes data by Trader ID (broker symbol for pit and operator ID for electronic).

Firm Selection

The firm list displays all of the firms the User is authorized to view.

- To select a firm, click on a firm (the firm will then be highlighted).
- To select multiple firms, hold down the CTRL key on the keyboard and click to highlight all desired firms.

  NOTE: a maximum of five firms may be selected at one time).
- To deselect a firm, hold down the CTRL key on the keyboard and click to highlight all desired firms.

Location

Select the location where the transaction took place:

- **ELC** is for electronic trades/transactions.
- **PIT** is for any transaction that took place on the floor/open outcry.
- No selection defaults to both locations.

Show Criteria

The default setting is for the **Show Criteria** box to be checked.

- This displays a summary of all of the search criteria above the search results.
- Uncheck the Show Criteria box to display the results only.

Saved Search and Saved Search Groups

The **Saved Search** function provides the ability to save and load frequently used Transaction Viewer and Report search parameters. Saved Search also has an administrative function ‘Saved Search Groups’ which allows users to make common searches available to other users within the same clearing firm, upon request.

- To create a predefined search click Saved Search and the My Criteria screen will display.
- Enter a name for the search criteria and click Save.
- To use the saved criteria, highlight the search name and click the action Load, then click Submit.
- The User will be redirected back to the primary screen with the search criteria loaded, the User has the opportunity to make any updates and then click Submit to retrieve the search results.

Performing an Advanced Search

In order to perform a more specific search, choose an **Advanced Search** by selecting the **Advanced** button at the bottom left of the search screen. The basic search selections will remain at the top of the page and must be completed as noted above, and the advanced fields will appear below. For detailed field definitions refer to Basic Search or Advanced Search .

Transaction Viewer Advanced Search Field Descriptions

FIELD NAME	DESCRIPTION
Quadrant Product Venue (NYMEX)	It is not mandatory to choose a selection from the Quadrant or Product Venue fields. The default setting will search all quadrants or product venues. It is possible to narrow a search to a single quadrant or product venue, however, by clicking on the specific quadrant or product venue in the list to highlight it. **NOTE**: Any time a specific quadrant or product venue is chosen, the Product list will automatically update to reflect only the products available within that quadrant or product venue. To narrow the search to a particular product, select the desired products identified in the Product field for the chosen quadrant/venue.
Product	It is not mandatory to choose a selection from the Product field. The default setting will search all Products. To narrow a search by Product, select a single product either by scrolling through the list OR type the product code in the text field above the product list. The system will automatically locate the first item in the list that matches the entry. **To Add a Product from the product list:** 1. **Highlight** the product in the list. 2. Click the **Add** hyperlink or press the enter key. The product's code will then populate in the box to the right of the product list. **To Select multiple products:** 1. Repeat the steps above for each product; or hold down the **CTRL** key on the keyboard. 2. Click each product to **highlight** it. 3. Click the **Add** hyperlink to add all of the products at once. **To Delete a product from the search list:** 1. Click and **highlight** that product code in the list box. 2. Click the **Delete** hyperlink. **To Delete multiple products from the search list:** 1. Click and **highlight** more than one product code in the list box. 2. Click the **Delete** hyperlink.
F/O	Choose to search for either a Future or an Option to narrow the search.
Currency	Choose to select a specific currency.
Venue (NYMEX/DME/CMEEL)	This field allows the User to search by a specific Venue.

FIELD NAME	DESCRIPTION
Main Account	This field specifies the grouping account.
Trading Account	This field identifies a specific trading account or sub account of the Main Account indicated in the previous field, or can be used alone to search for a specific trading account where the main account is unknown.
Broker	This field allows the User to search for a trade transacted by a specific broker.
Operator ID	This field allows the User to search for a trade by the Operator ID on the trade.
Order Number	This field allows the User to search by the order number.
Transaction Type	This field specifies the type of transaction executed.
Fee Type	This field allows the User to search by the fees charged to the transaction.
Applied Fee Indicator	This field identifies the fee level that corresponds to the fee schedule.
Hours	This field identifies the trading session as Electronic Trading Hours (ETH) or Regular Trading Hours (RTH).
Fee Incentive Indicator	This field indicates the fee incentive program associated to the transaction.

Transaction Viewer Advanced Search Operator Descriptions

Several of the Advanced Transaction Viewer fields offer a drop-down list with operators or functions that allow the User to sort or narrow the search criteria within that field. The definitions for those operators or functions are:

OPERATOR	DESCRIPTION
Any	Allows the User to search for all items and is the **default selection**.
Begins With	Allows the User to enter the first few numbers and/or letters of the desired search item(s).
Contains	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
Ends With	Allows the User to enter the last few number and/or letters of the desired search item(s).
Equals	Allows the User to enter the exact search item. “Equals” may also be used to enter multiple accounts so that it works as an “is in” option.

To Add a Search Item

1. For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
2. Click the **Add** hyperlink to add that item to the search list.

NOTE: The Add hyperlink must be selected in order for inputted text to be captured.

To Delete a Search Item

1. Find the item to be deleted in the search list.
2. Click to highlight the item.
3. Click the **Delete** hyperlink.

Additional Features

- To clear **all** selected search criteria; select the Clear button at the bottom of the search form.
- To switch back to the Basic Search form, select the **Basic** button at the bottom of the search form.

View Trades Search Result List - Sorted by Mode

The View Trades Mode provides the User a read only view of any trade results returned from the search criteria entered. The results of all searches are initially sorted based upon the **Mode** selected in the basic search. The below explanation of search results is organized based on each of the possible mode choices: View Trades, Edit Trades, Edit Trader ID and View Non-Trades.

After being sorted by mode, a secondary sort is organized by the **Summarized By** field.

The **Main Account/Trading Account** option is the **default** selection for organizing results within the Transaction Summary view.

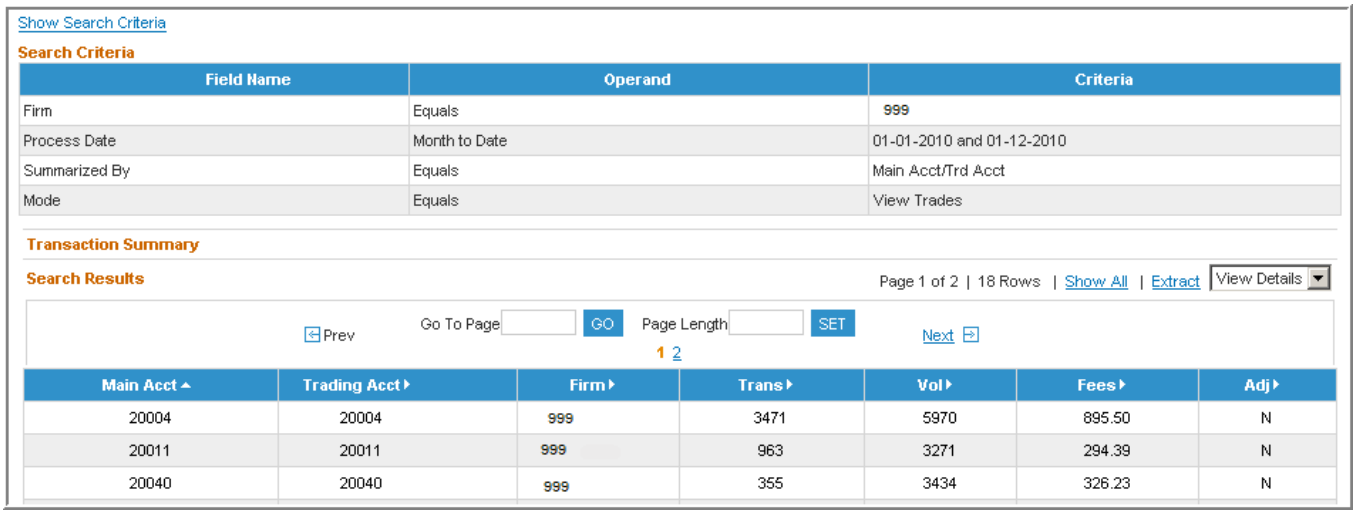
NOTE: See Summarized By Selection section above for further details.

Once sorted by Mode and then Summarized By, the data is returned in a first level view called the **Transaction Summary**, where a summary of all trades or non-trades is visible. Each returned record can then be chosen individually and displayed at the **Transaction Details** level. **Fee Details** is the third level, where basic fee information can be identified for each transaction.

Transaction Summary

After executing a search in the View Trades mode, the Transaction Summary screen will be displayed.

Transaction Summary Defined



Show Search Criteria

Search Criteria

Field Name	Operand	Criteria
Firm	Equals	999
Process Date	Month to Date	01-01-2010 and 01-12-2010
Summarized By	Equals	Main Acct/Trd Acct
Mode	Equals	View Trades

Transaction Summary

Search Results

Page 1 of 2 | 18 Rows | Show All | Extract | View Details

Prev Go To Page GO Page Length SET Next

1 2

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj
20004	20004	999	3471	5970	895.50	N
20011	20011	999	963	3271	294.39	N
20040	20040	999	355	3434	326.23	N

- **Show Search Criteria** hyperlink will allow the user to view the search form and see the field parameters utilized to obtain the results.
- **Go to Page** allows the user to enter a page number to navigate through the results.
- **Set Page Length** allows the user to modify the number of records displayed in a single page on the screen.
- **Show All** hyperlink allows the user to view all records on one screen.
- **Extract** hyperlink converts the results into a Tab Delimited format that enables users to import into any machine readable format.

Viewing or Modifying Search Criteria

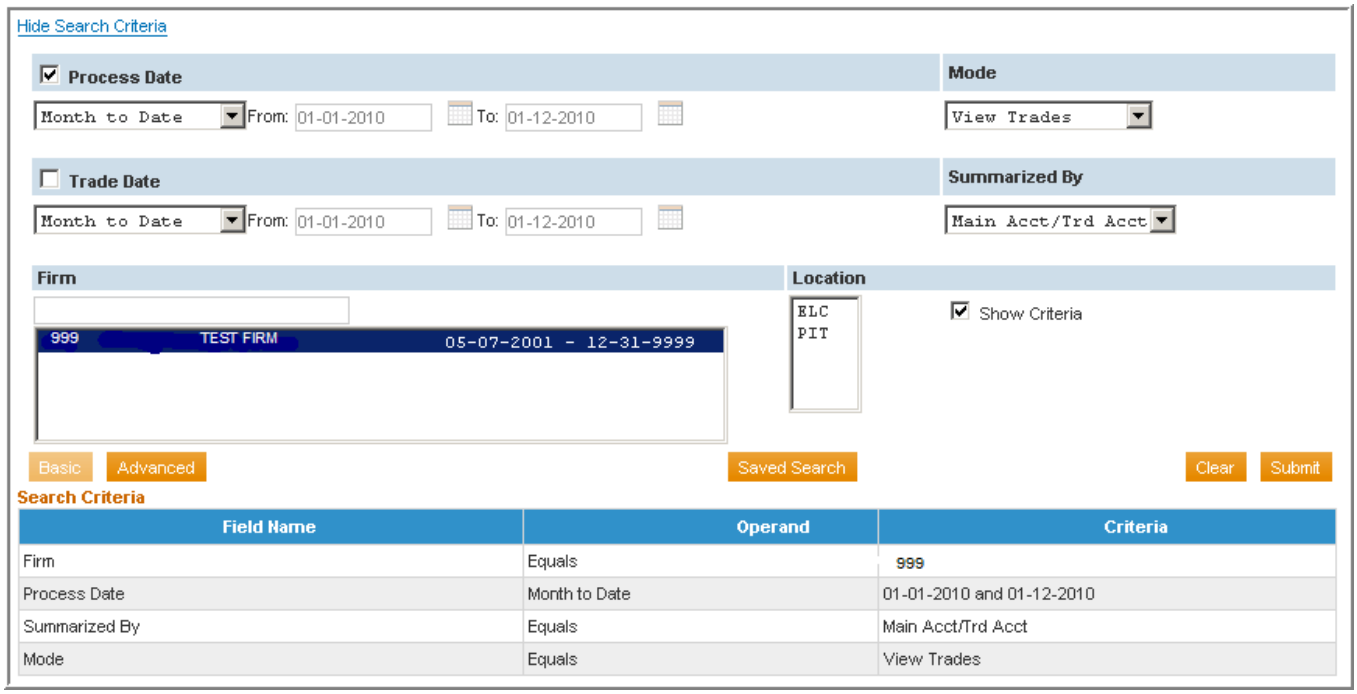
a. To view the search criteria form and the parameters previously selected, click on the **Show Search Criteria** hyperlink located just below the Transaction Viewer title.

b. After selecting the **Show Search Criteria** hyperlink, the screen will display the Basic or Advanced Search mode based on the previous search criteria selected.

c. To modify the search criterion simply change the input values and then select the **Submit** button.

d. Upon viewing the criterion, the **Show Search Criteria** hyperlink now displays as **Hide Search Criteria**. To hide the search form criterion, simply select the **Hide Search Criteria** hyperlink.

Show Search Criteria Chosen in the Transaction Summary View

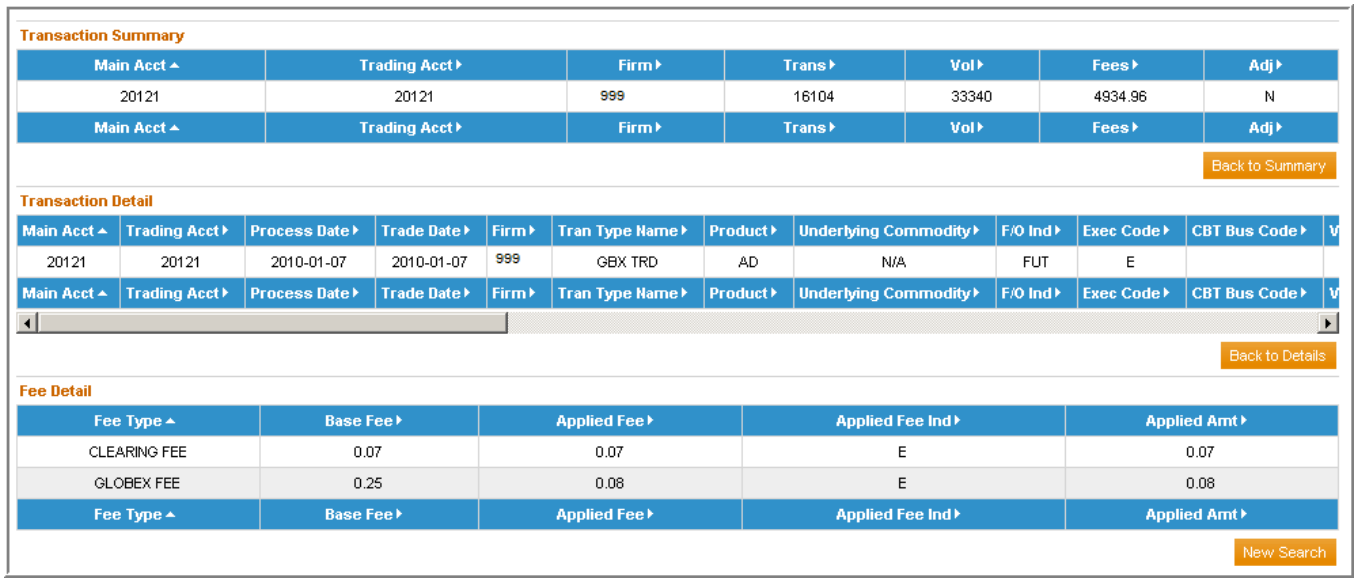


Transaction Details and Fee Details

To view the **Transaction Details** and **Fee Details** for a line item displayed within the Transaction Summary screen, simply click on that line item.

As mentioned above, the fee system drills down from a general summary to the specific detail of the trade. The below image shows the general Transaction Summary followed by the Transaction Details. Select a line item within the Transaction Detail level and the Fee Details for that trade will be displayed.

Trade Details and Fee Details



Additional Navigation Features

- To go back to the Transaction Summary screen, select **Back to Summary** button.
- To go back to the Transaction Details screen, select **Back to Details** button.

- To start a brand new search, select the **New Search** button. Please note that selecting this button will clear all search criteria.

Edit Trades Mode

The **Edit Trades Mode** allows the User to view, adjust and submit transactions for recalculation. This mode also allows the User to change the trading account when a transaction has cleared with an incorrect account number. Recalculation of trades and changing of the trading account can occur at the **Transaction Summary** and **Transaction Details** levels. **Fee Details** can also be viewed from this area. Note that the User must return to the **Transaction Viewer** and choose the **Edit Trades Mode** from the mode drop down menu, in order to execute these edit processes.

1. If you have executed a change to an account within the Account Maintenance screen during the current business day, the system will automatically submit those transactions for recalculation during the open adjustment period. Therefore, if you are unable to view trades in the edit mode, they may have already been submitted. Select "View Trades" mode in your search criteria and check for one of the following adjustment indicators in your search results:

- A = Allocation
- N = No Adjustment
- S = Record is split (i.e. left over quantity or unallocated quantity)
- Y = Resubmit, Change Account, Change Trader ID

2. There is a Rebate Period for these changes. Trades may only be EDITED during the current month and two months prior. The User may only view trades three months prior.

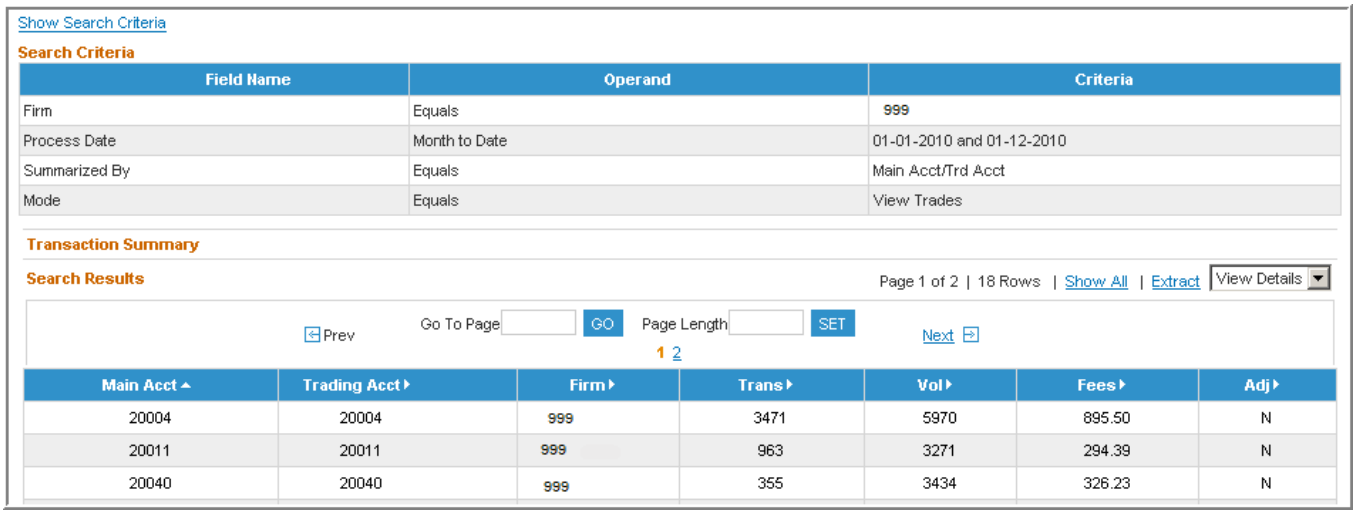
3. The User will need to manually submit transactions for recalculation in the Transaction Viewer for which the User had added or modified Operator IDs in the Globex Registration Screen.

Transaction Summary

After executing a search in the Edit Trades Mode, the Transaction Summary screen will display.

The Edit Trades Mode defaults to View Details displayed in the top right corner of the Transaction Summary screen.

Using the Edit Trades Mode within the Transaction Summary Screen of Transaction Viewer



Edit Functions

The User may choose the action to be performed, whether it is to view the transactions, change the trading account number or submit transactions for recalculation.

At the Transaction Summary level or at the Trade Details level, the User may select from the drop-down list:

- **View Details** - allows the User to select a specific line item from the Transaction Summary in order to view the Trade Details for that item (similar to the View Trades Mode). The User may also select View Details from the Trade Details level in order to view the associated Fee Details.
- **Change Account** - allows the User to change the trading account number on transactions that cleared under incorrect account numbers, or to modify the account number associated to position transfer and adjustments records. An account change can be performed at the Transaction Summary level or at the Trade Details level.
- **Recalculate** - allows the User to submit transactions for recalculation. Trades may be recalculated at the Transaction Summary level or at the Trade Details level.

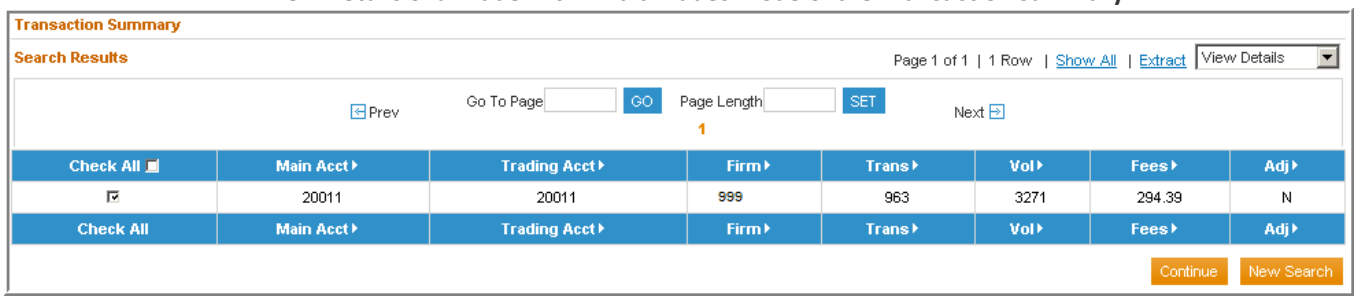
NOTE: In order to use the Change Account and Recalculate functions at the Trade Details level, the User must select View Details at the Transaction Summary level.

View Details

To view the **Trade Details** for a particular item at the **Transaction Summary** level:

1. Select **View Details** from the drop-down list.
2. Click the check box in the row of one line item in order to view the details of that transaction.

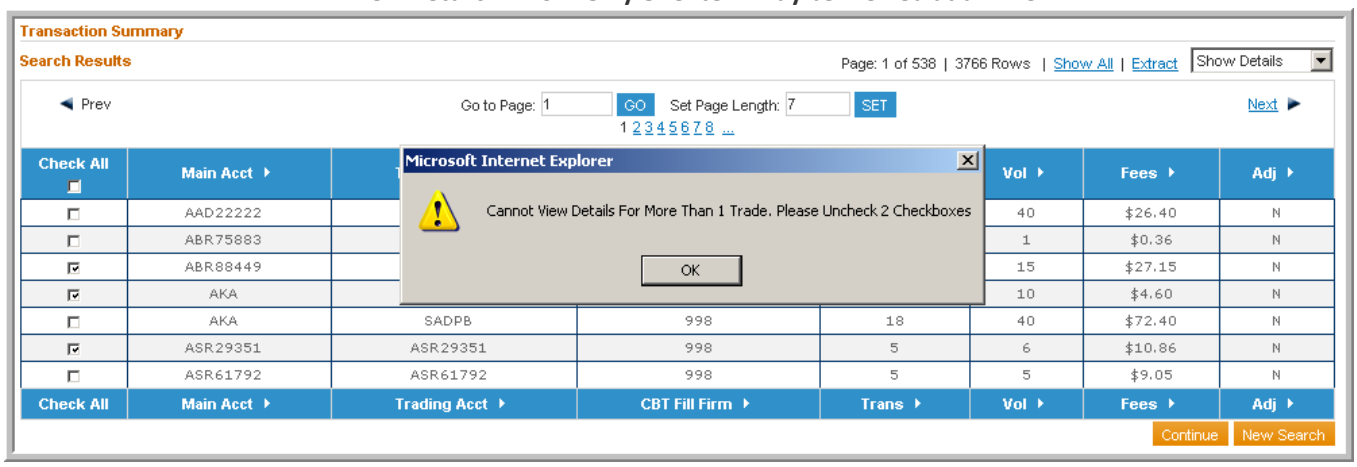
View Details of a Trade within Edit Trades Mode of the Transaction Summary



3. After selecting the appropriate item, select the **Continue** button.

NOTE: Only one line item can be selected at a time. If more than one check box has been selected, the User will receive an error message.

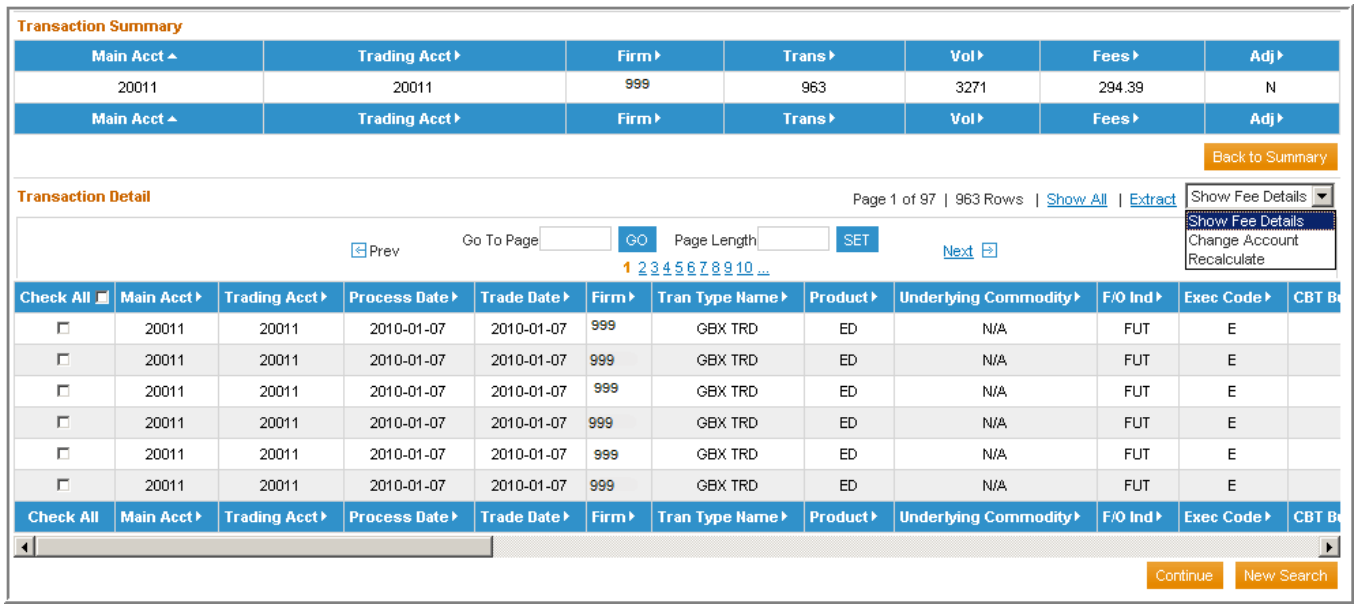
View Details - Error - Only One Item May be Viewed at a Time



At the **Trade Details** level, the User may again select from the drop-down list:

- **Show Fee Details**
- **Change Account**
- **Recalculate**

Transaction Detail Screen in the Edit Trades Mode of the Transaction Viewer


Transaction Summary
Main Acct | Trading Acct | Firm | Trans | Vol | Fees | Adj
20011 | 20011 | 999 | 963 | 3271 | 294.39 | N
Back to Summary
Transaction Detail
Page 1 of 97 | 963 Rows | Show All | Extract
Show Fee Details
Change Account
Recalculate
Prev
Go To Page
GO
Page Length
SET
Next
1 2 3 4 5 6 7 8 9 10 ...
Check All | Main Acct | Trading Acct | Process Date | Trade Date | Firm | Tran Type Name | Product | Underlying Commodity | F/O Ind | Exec Code | CBT B
20011 | 20011 | 2010-01-07 | 2010-01-07 | 999 | GBX TRD | ED | N/A | FUT | E
Continue
New Search

Also at the **Transaction Details** level

- To **Change an Account** or to **Recalculate Transactions**, follow the same steps outlined above.
- To view **Fee Details** for a particular trade, select **Show Fee Details** in the drop-down menu.

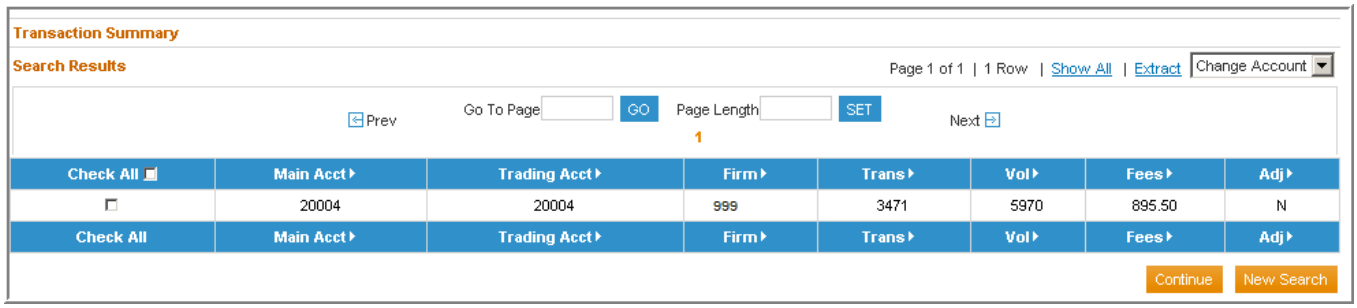
Change Account

Changing an account in EFS allows the user to move trades from one account to another.

To Change a Single Account Number:

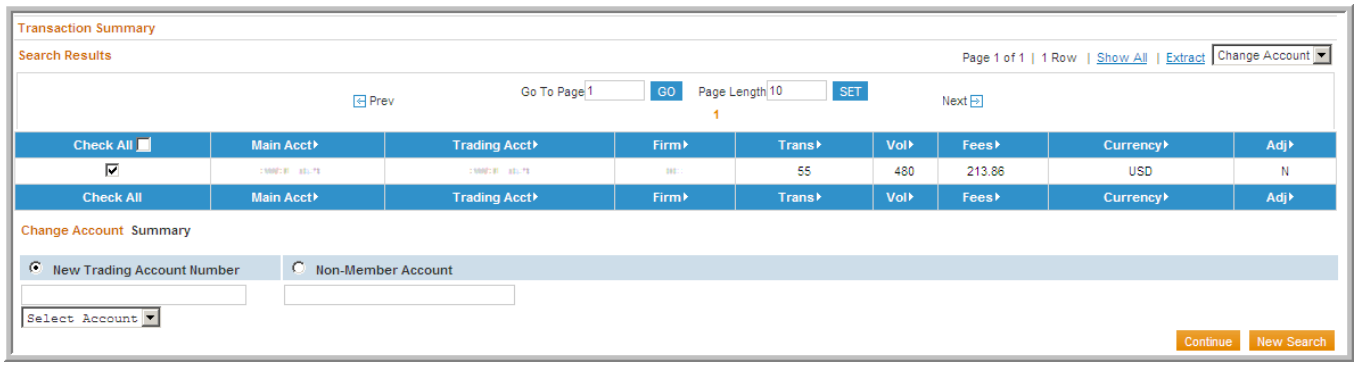
1. Select **Change Account** from the **Select Action** drop-down list.
2. Click the check box in the row of the line item to be changed.

Selecting a Single Account to Change the Account Number within the Edit Trades Mode of Transaction Summary


Transaction Summary
Search Results
Page 1 of 1 | 1 Row | Show All | Extract
Change Account
Prev
Go To Page
GO
Page Length
SET
Next
1
Check All | Main Acct | Trading Acct | Firm | Trans | Vol | Fees | Adj
20004 | 20004 | 999 | 3471 | 5970 | 895.50 | N
Continue
New Search

3. Select the **Continue** button.

Changing a Single Account within the Edit Trades Mode of Transaction Summary

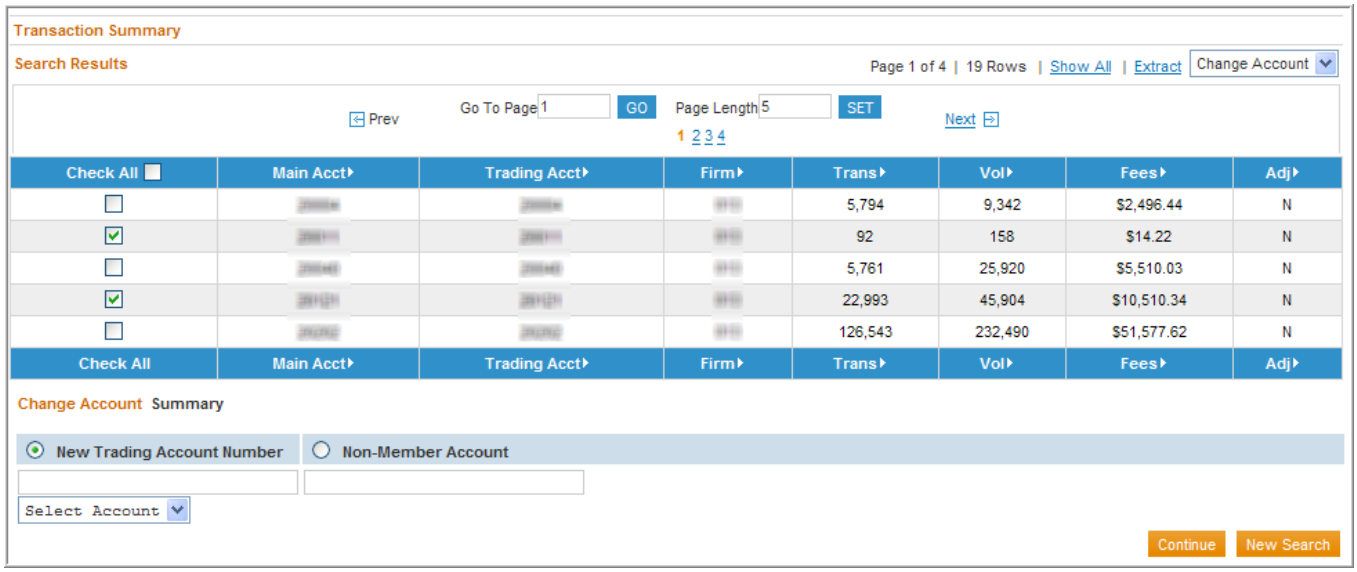


4. Locate the **New Trading Account Number** by utilizing the auto complete feature that suggests possible trading account matches as you enter text within the text box, or scroll through the drop-down box to find the account. To input an account that is not currently registered in EFS, select the **Non-Member Account** radio button and enter an account number.
5. Select the Continue button.

To Change Multiple Accounts

1. Select **Change Account** from the drop-down list.
2. Click the check boxes in the rows of all of the accounts to be changed to a single account number.

Selecting Multiple Accounts to Change into a Single Account within the Edit Trades Mode of Transaction Summary



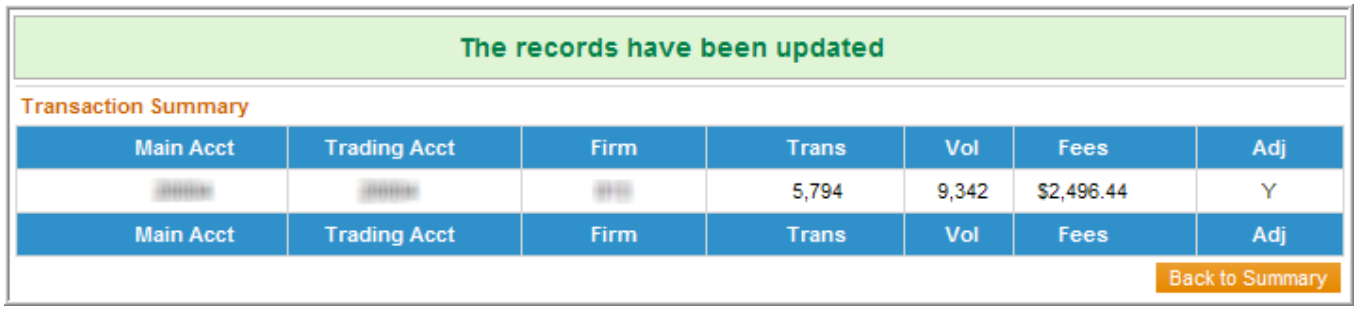
3. To select all accounts displayed, click the **Check All** box in the column header.

> **NOTE**: The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists; select the accounts on all pages by first clicking the Show All hyperlink next to the drop-down box and then click on the Check All box.

4. After selecting the appropriate account(s), select the **Continue** button and a Change Account section will display.
5. Locate the **New Trading Account Number** by utilizing the auto complete feature that suggests possible trading account matches as you enter text within the text box, or scroll through the drop-down box to find the account. To input an account that is not currently registered in EFS select the Non-Member Account radio button and enter an account number.
6. Select the Continue button.

The **Adj** column at the right will change from **N** to **Y** to indicate that this item has been submitted for reprocessing during that night's batch cycle.

Changing Accounts by Creating a New Account to Encompass Multiple Accounts within the Edit Trades Mode of Transaction Summary



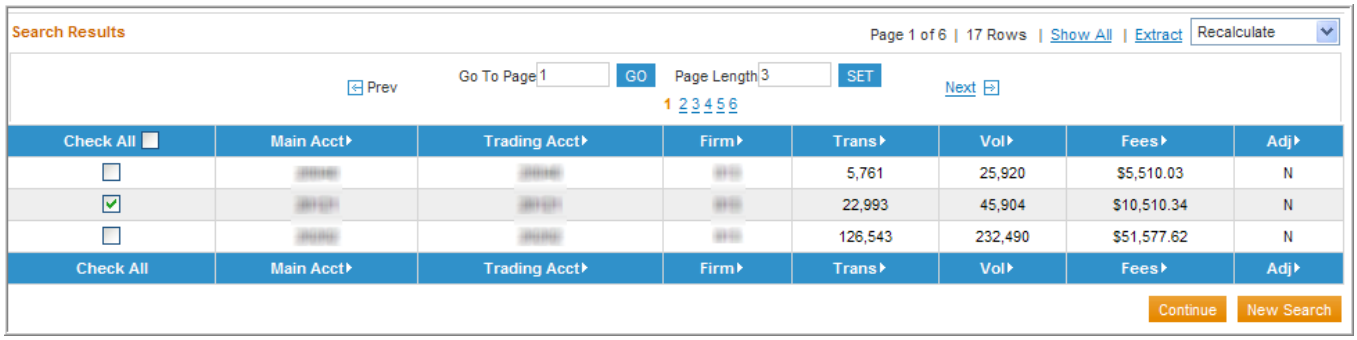
Recalculate

In the **Edit Trades Mode** of **Transaction Viewer**, the User can recalculate a single item, or a group of items, at one time. This feature should be used to manually submit trades for recalculation when the associated operator ID has been added or modified in the Globex Registration screen.

To Submit an Item for Recalculation

1. Select **Recalculate** from the drop-down list.
2. Click the check box in the row of the line item that is to be recalculated.

Recalculating a Trade within Edit Trades Mode of the Transaction Summary



To Select Multiple Items for Recalculation

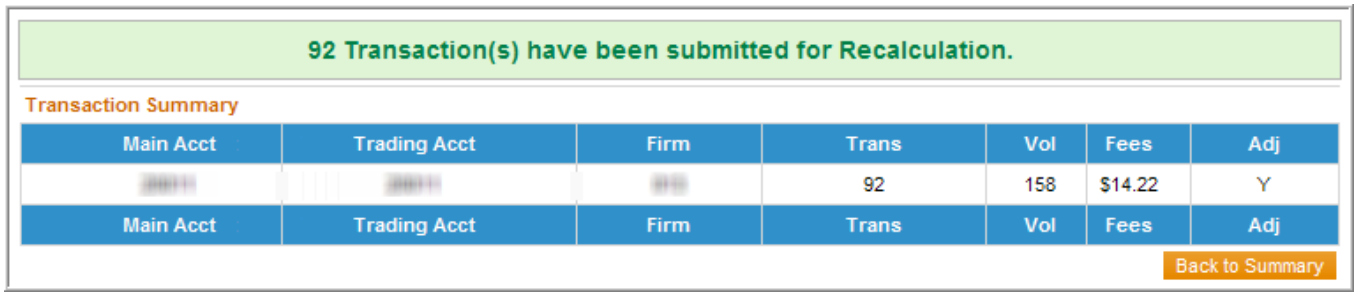
1. Click the check boxes in front of all line items to be submitted for recalculation.

To Select All Items on the Screen for Recalculation

1. Click the **Check All** box in the column header to highlight all the items displayed on the screen.

   NOTE: The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists, select the accounts on all pages by first clicking the 'Show All' hyperlink next to the drop-down list and then click on the Check All box.

2. After selecting the appropriate item(s), select the **Continue** button.
3. A message window will appear asking for confirmation to recalculate the trades - click **OK** to confirm or **Cancel**.
4. If **OK** is selected, a confirmation message will be displayed stating that the request has been submitted for recalculation.



5. The Adj column at the right will change from N to Y to indicate that this item has been submitted to be reprocessed during that night's batch cycle. After submitting a request to edit trades, the User will receive a message indicating that the resubmission is in progress.

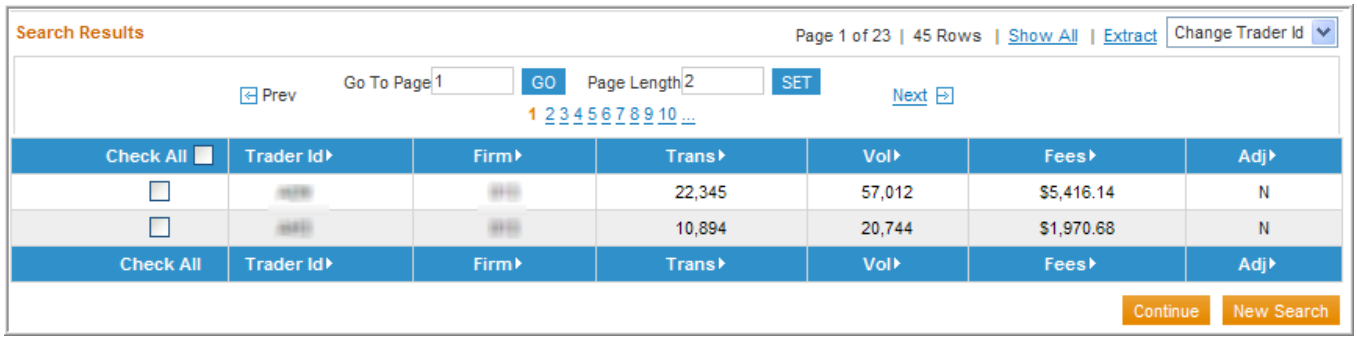
Edit Trader ID Mode

Trader ID is a single field used to identify an individual executing either a Pit or Electronic transaction. The field contains the "Broker Symbol" for Pit transactions and the "TAG 50" Operator ID for Electronic transactions.

If it has been determined that a Trader ID has been passed through incorrectly for either a Pit or Electronic transaction, you may update the ID through the Edit Trader ID Mode, utilizing the instructions below:

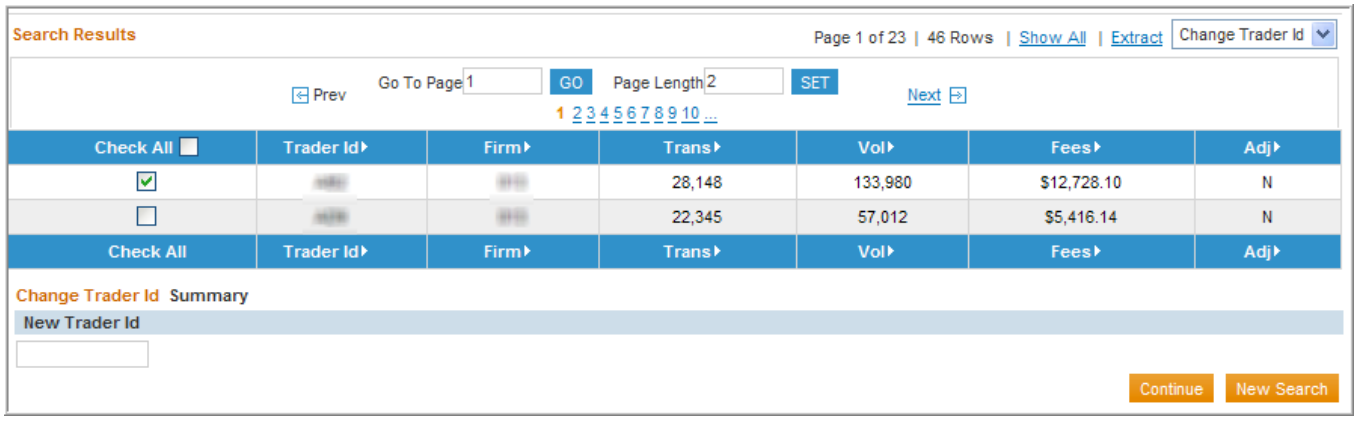
1. From the **Mode** field, choose Edit Trader ID.
2. **Trader ID** will default in the **Summarized By** field. **Trader ID/Trd Acct** can be selected if needed.
3. Select the Firm.
4. In the Location field, if left blank, electronic and pit will be included. Select **ELC** (to update only the "TAG 50" Operator ID) or select **PIT** (to update only the "Broker Symbol").
5. Click **Submit**.

Edit Trader ID Summary Results



6. Select the **Change Trader ID** option from the drop-down menu.
7. Enter the **New Trader ID**.

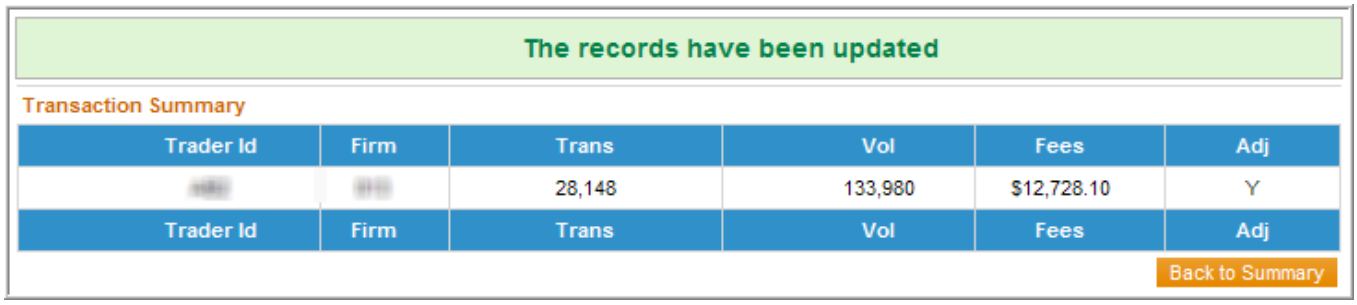
New/Change Trader ID Entry Screen



8. Click the **Continue** button.

   The Change Trader ID screen will be returned, with a confirmation message. The adjustment status has changed to "Y". The old trader ID is still displayed at this time, but will be updated in that night's processing cycle.

Auto Response Identifying Trader ID Updated



View Non-Trades Mode

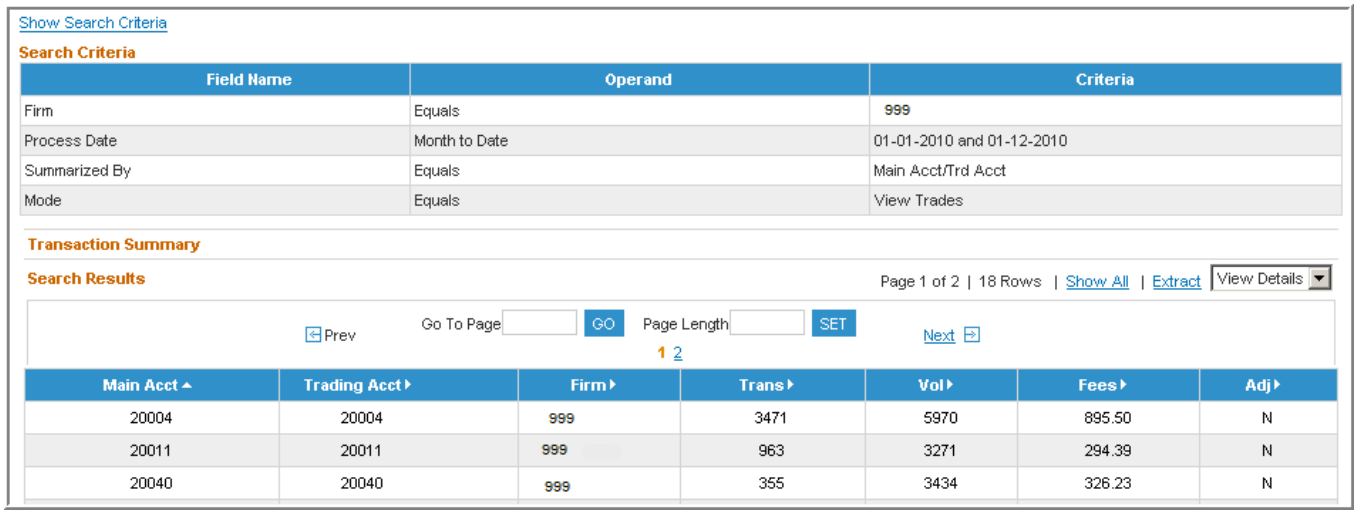
The View Non-Trades mode allows the User to view allocated and unallocated Exercises, Assignments and Deliveries, plus other non trade activity such as Cash Settlements, Futures from Exercise, Futures from Assignments and Expirations.

NOTE: Account numbers are not attached to these transaction types and as a result, non-trade exchange fees are applied at the NON-MEMBER RATE. Therefore, it is important to utilize this mode to determine which activity should be allocated to member accounts in order to receive the reduced non-trade exchange fee rate.

Transaction Summary

After executing a search in the View Non-Trades Mode, the **Transaction Summary** will be displayed. The non-trade activity will be summarized to either a blank account (denoting unallocated activity) or to previously allocated accounts. Simply click on one of the summary line items in order to obtain the details.

View Non-Trade Transaction Summary Screen


Show Search Criteria

Search Criteria

Field Name	Operand	Criteria
Firm	Equals	999
Process Date	Month to Date	01-01-2010 and 01-12-2010
Summarized By	Equals	Main Acct/Trd Acct
Mode	Equals	View Trades

Transaction Summary

Search Results

Page 1 of 2 | 18 Rows | Show All | Extract | View Details

Prev Go To Page GO Page Length SET Next

1 2

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj
20004	20004	999	3471	5970	895.50	N
20011	20011	999	963	3271	294.39	N
20040	20040	999	355	3434	326.23	N

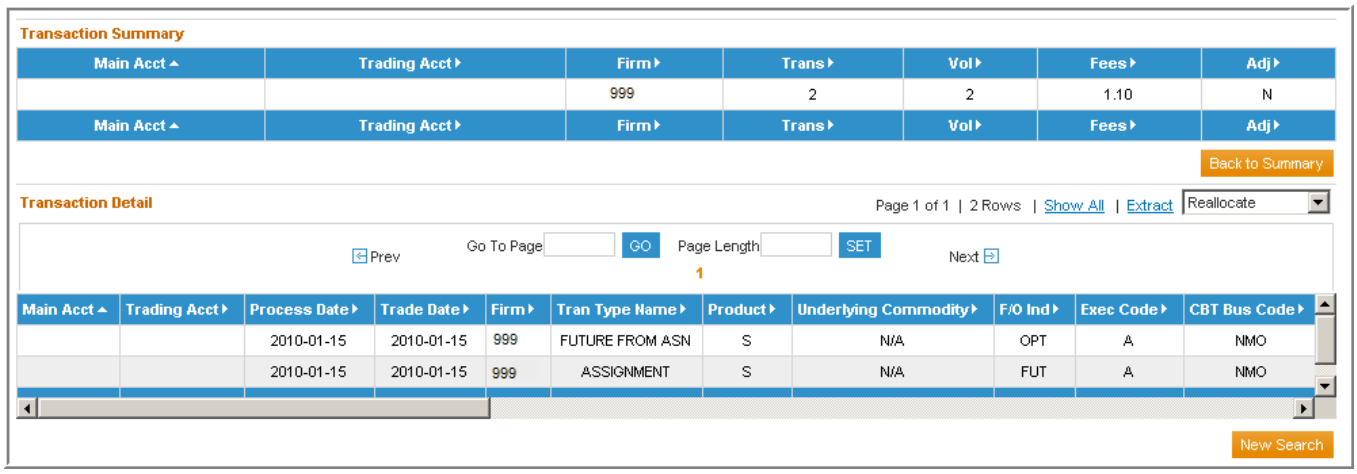
Transaction Details

After selecting one of the line items from the **Transaction Summary** screen, the screen will display all the associated non-trade activity **Transaction Details**. From the **Transaction Details** section the User may execute the following action items:

Reallocate – This feature will redirect the User to the Allocation screen with the fields pre-populated based on the line item selected in the Transaction viewer.

- For instance if a User selects a single transaction of Firm ID = **999**, Transaction Type = **Assignment**, Product = **C**, then upon redirection to the allocation screen the user will have those fields pre-populated. Plus, within the allocation screen, the month will automatically obtain month-to-date activity (even though one-date may have been selected in the transaction viewer).
- For CBOT and CME, this feature is not available on transaction types Futures from Exercise and Futures from Assignment as the allocations for these transactions are systematically performed when the corresponding Exercises and Assignments are allocated.

View Non-Trades Transaction Detail Screen


Transaction Summary

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Adj
		999	2	2	1.10	N

Back to Summary

Transaction Detail

Page 1 of 1 | 2 Rows | Show All | Extract | Reallocate

Prev Go To Page GO Page Length SET Next

1

Main Acct	Trading Acct	Process Date	Trade Date	Firm	Tran Type Name	Product	Underlying Commodity	F/O Ind	Exec Code	CBT Bus Code
		2010-01-15	2010-01-15	999	FUTURE FROM ASN	S	N/A	OPT	A	NMO
		2010-01-15	2010-01-15	999	ASSIGNMENT	S	N/A	FUT	A	NMO

New Search

NOTE: If the User goes to the Allocation Screen and then back to the Transaction Viewer, the search results will be in the same state; therefore in order to refresh the result set the User must re-perform the search. To do this, select the NEW SEARCH button below the transaction detail section.

Transaction Viewer Basic Search Field Definitions

FIELD NAME	DESCRIPTION
Firm	Represents the filling firm (executing firm) of the transaction.
Location	The location in where the trade was executed (Pit or Electronic).
Mode	The action to be taken (e.g. Edit Trader ID, Edit Trades, View Non-Trades, View Trades).
Process Date	The date that the trade was processed in EFS.
Summarized By	How the data will be grouped (e.g. Main Account/Trading Account, Product, Trader ID, Trader ID/Trading Account, Trading Account).
Trade Date	The date that the trade was executed.

Transaction Viewer Advanced Search Field Definitions

FIELD NAME	DESCRIPTION
Applied Fee Indicator (CME)	Applied Fee Indicator (AFI) corresponds to the respective levels on the fee schedule.
	B - CBOE Member
	C - Non-Member
	E - Individual Equity Member, Clearing Member, Rule 106.J Corporate Equity Member Firm, Rule 106.I Member Firm, Rule 106.S Member Approved Fund
	F - Rule 106.F Employee
	L - Rule 106.D Lessee
	O - Rule 106.H/N Firm
	RH - Rule 106.R Electronic Corporate Member – Holding Member
	X - Out of Division

FIELD NAME	DESCRIPTION
Applied Fee Indicator (CBOT)	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	L1 - Individual Equity Member trading for own account.
	L1D - Individual Lessee (Delegate/106.D) trading for own account.
	L1F - Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).
	L2 - Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.
	L3 - Individual Non-Equity Members (where another individual is executing the trade) and Non-Equity Member Firms that have the trading rights but do not have share minimum for the product traded.
	L3D - Individual Delegate Members where another individual is executing the trade.
	L3F - Individual Clearing Firm Employee where another individual is executing the trade.
	L4 - Electronic Corporate Member Firms
	L5 - Non-Member
	L6 - Mini-sized Contract Permit Holders (also known as a CMACE Permit)
	L6D - Individual Lessee (Delegate/106.D) whom is also holding a CMACE permit.
	L6F - Individual Clearing Firm Employee (Firm Appointee/106.F) whom is also holding a CMACE permit.
	L7 - CME Members eligible for discounted rates on the Mini-Dow.
	L8 - Kansas City Board of Trade members eligible for discounted rates on CBT Wheat
Applied Fee Indicator (CCE)	Applied Fee Indicator corresponds to the respective levels on the fee schedule. **M** - Member
	N - Non-Member
Applied Fee Indicator (CMEEL)	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	CM - Clearing Member
	N - Non-Member
	NCM - Non-Clearing Member
Applied Fee Indicator (DME)	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	DCM - DME Clearing Member
	DCU - Non-Member / Customer
	DFF - DME Floor Member
	DMM - DME Market Maker
	DOF - DME Off Floor

FIELD NAME	DESCRIPTION
Applied Fee Indicator (NYMEX)	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	C - Non-Member
	E - Equity (Firm or Individual)
	F - 106.F Member
	L - Lessee Member (Rule106.D) (Formerly referred to as Licensee)
	X - Blended - Member Trading Outside Division, eligible for blended rates
Broker	Identifies the member's acronym, typically referred to as Broker Symbol. This field should be predominately utilized for isolating PIT trading activity.
Product	Indicator code (usually a two to five character code) for the contract traded.
Fee Incentive Indicator (CME, CBOT and NYMEX)	Fee Incentive Indicator corresponds to the respective Incentive Program status. Blanks (or spaces) in this field mean no incentive program status applies.
	Note: The Applied Fee Indicator for these Incentive Programs corresponds to Non-Member status, so this field is used to determine if Incentive Program rates were applied.
	AIP - Asian Incentive Program
	CBIP - Central Bank Incentive Program
	CEIP - CME Electronic Incentive Program (CME only)
	CTAHFIP - CTA Hedge Fund Incentive Program (CME Only)
	EMBIP - Emerging Markets Bank Incentive Program
	FMIP - Latin American Fund Manager Incentive Program
	IIP - International Incentive Program
	IVIP - International Cross-Asset Volume Incentive Program
	LACIP - Latin American Corporate Incentive Program
	LAPTIP - Latin American Proprietary Trading Incentive Program
Fee Type	Allows a user to narrow the search by the fees charged to the transaction(s). Following is a list of fee types, grouped by the category under which they are billed to the clearing firm:
	CBOT - Facilitation Fee **CBOT** - Fee Credit
	CBOT Clearing Fees - Clearing Fee, E/A Surcharge, Expired Option Fee, Fung Surcharge, Give-Up Surcharge, Position Adjustment, Position Transfer
	CBOT Exchange Fees - EFP Surcharge, Exchange Fee, Exchange Fee-NonTrd
	CCE - Facilitation Fee
	CCE Transaction/Misc. Fees - Cash Settlement, Give-Up Surcharge, Position Adjustment, Position Transfer,

FIELD NAME	DESCRIPTION
	Trans Fee – NonTrd, Transaction Fee
	CME - Facilitation Fee
	CME Clearing Fees - Clearing Fee, E/A Surcharge, EFP Surcharge, Fee Credit, Give-Up Surcharge, New Brokerage-106F, Position Adjustment, Position Transfer, 106F Brokerage
	CME Globex Fees - Globex Fee
	CMEEL Transaction/Misc. Fees - Facilitation Fee, Position Adjustment, Position Transfer, Settlement Fee, Transaction Fee
	CBOT Brokerage Fees - Brokerage, 106F Brokerage, 106F Brokerage Ind (These Brokerage Fees are billed to the Broker, not the clearing firm.)
	CME Brokerage Fees - New Brokerage-Other, 106D Brokerage **Note**: These Brokerage Fees are billed to the Broker, not the clearing firm.
	ERIS - Maintenance Fee
	NYMEX Exchange/Other Fees - Block Surcharge, Brent Spread Credit, Cash Settlement, CHIP Rebate, Copper Credit, Cross Fee, E/A/D Notice, EFR Surcharge; Exchange Fee - CPC, GBX, PIT, NONTRD; Facilitation Fee, Fee Credit, Give-Up Surcharge, Lessee Surcharge, Lessee Trading Fee, Position Adjustment, Position Transfer, Power Credit, Trans Rebate
	DME Exchange Fees - Block Surcharge, Cash Settlement, E/A/D Notice; Exchange Fee – CPC, GBX, NONTRD, Give-Up Surcharge, Position Adjustment, Position Transfer, Settlement Fee
F/O	Trading activity may be isolated by either the Futures or Option indicator.
Currency	Fees billed may be isolated by the currency in which they are billed.
Hours	Regular Trading Hours (RTH), the trading session that takes place during the timeframe that the trading floor is open, whether the trade is done on the floor or electronically.
	Extended Trading Hours (ETH), the electronic trading session that takes place outside of the hours during which the trading floor is open.
Main Account	This is the grouping account created by firms via the account maintenance screen to group all trading accounts with the same account owner(s) and controller(s).
Order Number	Field identifies the customer's order. This number is internally generated by the order routing software that uniquely identifies an order instruction.
Product Venue (NYMEX only)	**ALL** - NYMEX and COMEX products
	COMEX - COMEX products only
	NYMEX - NYMEX products only
Quadrant (CBOT, CCE, CME CMEEL & DME)	Each product can be identified by one of the following classifications: Agriculture (AG or AGS), CDS (CME Only),

FIELD NAME	DESCRIPTION
	Currency (CURR), Energy (ENERGY), Equity Index (INDEX), Financials (FIN), Interest Rate (INT), Metal ERIS (CME only) **Note**: For DME there are no Quadrant classifications, the selection criterion is ALL. For NYMEX, Product Venue is used instead of Quadrant
Trader ID	Field identifies the executor's user ID, typically referred to as an Operator ID or TAG 50 for electronic activity, and broker symbol for pit activity.
Trading Account	This is the actual trading account number that was listed on the transaction.
Transaction Type	Field identifies the specific type of transaction executed, below are the descriptions:
	PIT - PIT SPRD, PIT TRD
	Ex-PIT - BLOCK, BLOCK SPREAD, EFP, EFR, EFS, EXCHANGE OPTIONS FOR OPTIONS
	Electronic - ELC SPRD, ELC TRD, GBX SPRD, GBX TRD
	Non-Trades - CASH SETTLE, DELIVERY, EXERCISE, ASSIGNMENT, EXPIRED OPTION, FUTURE FROM ASN, FUTURE FROM EXE
	Over The Counter - OTC (CME Only)
	Other Trading Activity - GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI, Swap from ASN, Swap from EXE
Venue (NYMEX/DME)	**CXPIT** COMEX Floor Trading (Open Outcry)
	NYPIT NYMEX Floor Trading (Open Outcry)
	CPC ClearPort Clearing
	GLBX Globex – CME Group electronic trading platform for NYMEX, COMEX and DME products.

Change Code Field Definitions

Change Code	Description
ORIG	This represents an original trade transaction. This will be the code set for all trades loaded into the fee system from Clearing (and TMS).
REALLO	Transaction was recalculated as a result of a non-trade transaction being reassigned (allocated) to a main or trading account. Allocations only apply to non-trade activity (e.g. futures from exercise, future from assignment,

Change Code	Description
	cash settlement).
ACCT	If a trading account was incorrectly passed through from Clearing, the end user may change the specified account. Fees will be recalculated based on the new data inputted.
RESUB	This is where trade information is correct, but fees were incorrectly calculated. This is usually due an Account and/or Operator ID that has not been correctly registered within the fee system. This may also be due to incorrect membership information as well that needed to be modified. Once the appropriate pieces of information are accurately registered the end user may resubmit the transaction in order to reprocess the transaction for the correct fees to be applied.
TRDR	If a Broker Symbol/Operator ID was incorrectly passed through from Clearing, the end user may change the specified executing broker information. Fees will be recalculated based on the new data inputted.
IMA	(Inter month adjustments) This is when an end user makes an adjustment (e.g. changes an account, reallocates trades or resubmits trades) after the fees have been finalized (billed). To flag what was originally billed, the fee system updates the change code field as an IMA.
REVERSE	This record is created as an adjusting entry to credit the volume and fee amounts as the result of an IMA. This offset record will net fees and trade quantity to be zero.
RESUB_I REALLO_I TRDR_I	The "_I" flags that this was an adjustment made outside of the original process month. These definitions are the same as the ones listed above except that these specifically denote inter-month adjustments.

Allocation

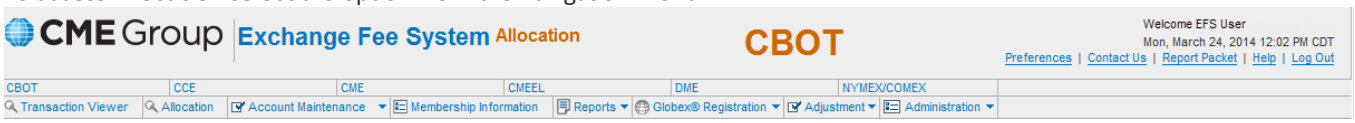
The Allocation screen is used for allocating non-trade transactions (for example, Exercise, Assignment, Delivery, Cash Settlement, Expired Options, Future from Exercise and Future from Assignment) to the appropriate main and/or trading account, as well as the ability to edit previously allocated transactions. These Non-trade transaction types do not have account numbers associated to them when the records are received from CME Group Clearing. Therefore, they are charged at Non-Member rates until the firm allocates them to the appropriate underlying main and/or trading account.

NOTE: For CBOT and CME - Future from Exercise and Future from Assignment transactions do not need to be allocated separately. These transaction types will systematically be allocated to the same main and/or trading account entered for the associated Exercise or Assignment transaction.

NYMEX, CCE, CMEEL and DME feature **Show Optional Types** by selecting the check box. The fees for these optional transaction types are not based on membership status, therefore, they are not required to be allocated, however the User may do so if desired.

Accessing Allocation

To access **Allocation** select the option from the navigation menu.



The following transaction types are available for allocation by Exchange:

Transaction Type	CBOT	CME	NYMEX/COMEX/DME	CCE	CMEEL
Assignment	X	X	Optional	Optional	N/A
Delivery	X	X	Optional	Optional	N/A
Exercise	X	X	Optional	Optional	N/A
Expirations	X	N/A	N/A	N/A	N/A
Cash Settlement	N/A	N/A	X	X	X
Future from Assignment	N/A	N/A	X	N/A	N/A
Future from Exercise	N/A	N/A	X	N/A	N/A
Swap from Assignment	N/A	N/A	N/A	X	N/A
Swap from Exercise	N/A	N/A	N/A	X	N/A

- **X** = Full allocation functionality
- **N/A** = Not valid for allocation for that product exchange
- **Optional** = Available for allocation, but will have no fee impact if applied. Feature was made available per request, for bookkeeping purposes.

Key Concepts

What does the term "Reallocate" signify?

Non Trade transactions are initially directed to a "blank" account for the firm, any allocation the User performs is known as **Reallocation**.

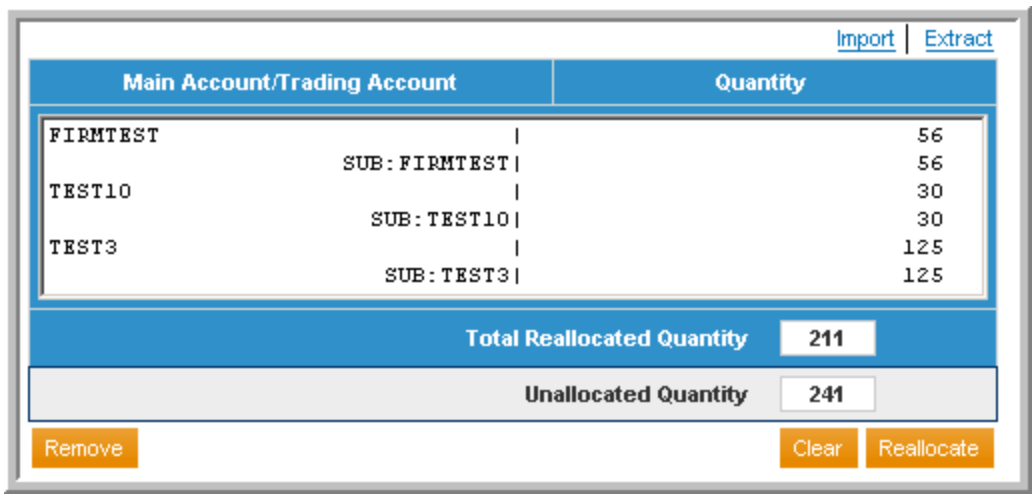
May I correct an allocation after submitting the records for allocation?

The User may only allocate transactions **ONE** time per business day. If a mistake is made and submitted, it cannot be corrected until the next business day.

If I allocate many trading accounts at once, how am I best able to view them in the allocation screen?

If the scroll bar is not sufficient for viewing entries in the allocation box, the User may select the **Extract** hyperlink. Refer to the image below for reference.

Allocation Search Extract Feature

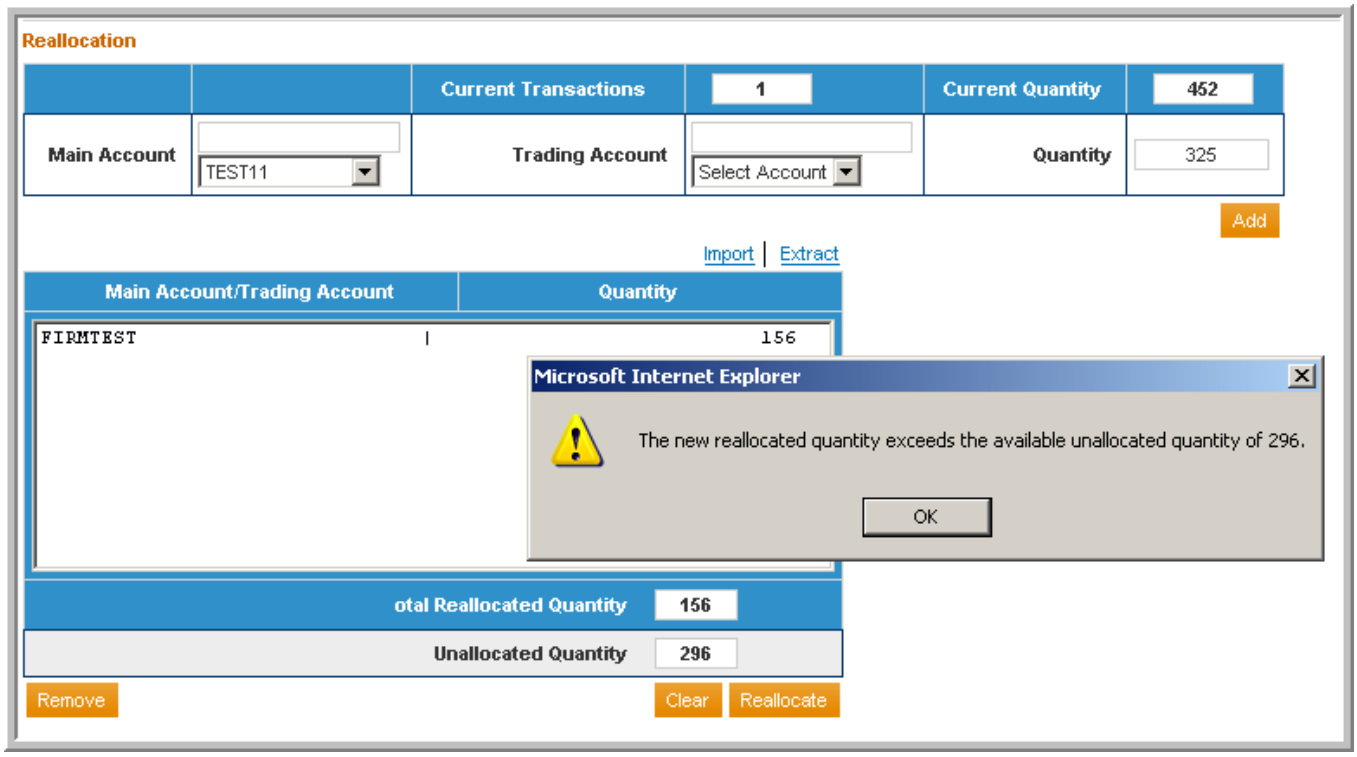


After selecting the **Extract** hyperlink the User will be prompted to **Open** or **Save** the extracted list of main/trading accounts to be allocated. To obtain a quick view of the accounts, select **Open**; to review at a later time or to save the data for import into another application, select **Save**.

What happens if the allocated quantity exceeds the available quantity, as shown in the image below?

If an entered quantity causes the Total Reallocated Quantity to exceed the number of contracts available for allocation, an error message will appear in a pop-up window. Click **OK** to remove the error message, return to that section and revise the quantity.

Reallocation Screen with Quantity Exceeds Error



What if I don't know what specific transactions are unallocated?

The User may execute the **Unallocated Non-Trades Report** in the **Reports** screen, or the User may utilize the **Transaction Viewer'sView Non-Trades** mode, to determine what transactions may need to be allocated.

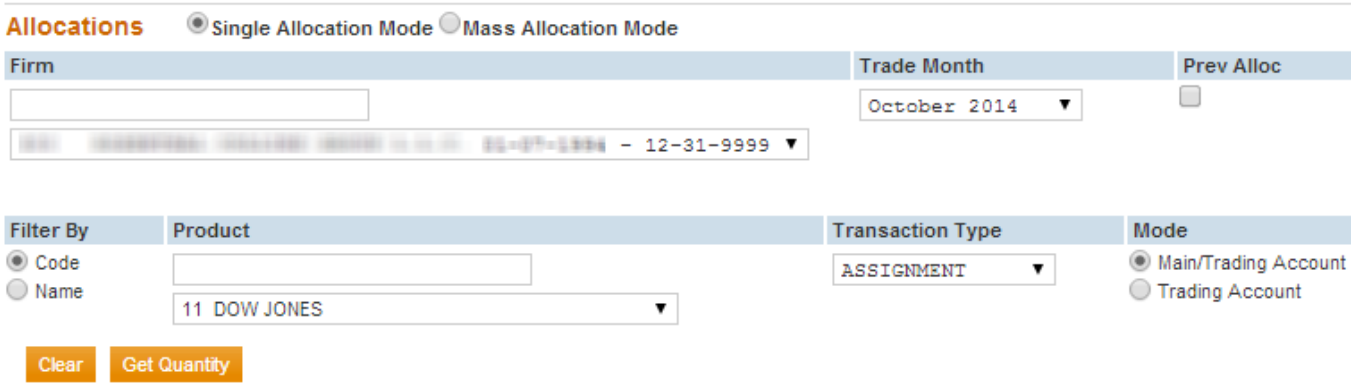
Searching for Transactions to Allocate

After the User selects the Allocation menu option from the navigation bar, the allocation search screen will be displayed. For additional information about search or entry fields, refer to the Allocation Field Descriptions.

To perform an allocation refer to: Entering or Importing Allocations. Two allocation modes are available:

- Single Allocation
  - Manual Entry
  - Import / Upload
- Mass Allocation - Import / Upload only

Allocation Search Screen



To execute a search for **unallocated** transactions, select the following fields:

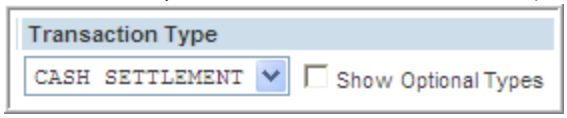
- Firm
- Trade Month
- Product (Filter by Code or Name)
- Transaction Type
- Mode (to allocate by Main/Trading Account or Trading Account)

After completing these fields, select the **Get Quantity** button. The Reallocation screen will display. Depending on the Mode selected, the User will be able to select the **Main Account** and/or **Trading Account** to which transactions should be allocated.

Additional Allocation Notes

For NYMEX/COMEX, CCE, CMEEL and DME Exchanges Only:

- The **Show Optional Types** selection allows the user to allocate the optional transaction types (those that do not have a fee impact associated with the allocation).



For CBOT and CME Only:

- **Future from Assignment or Exercise** transactions will systematically be allocated to the same main and/or trading account when the corresponding Assignment or Exercise is allocated.
- A Future from Assignment or Exercise has the same product code as the option Assignment or Exercise, with the exception of **Flex Options**, **Weekly Treasury Options** and **Weekly Ag Options**. In order to allocate transactions associated with these option types, the allocation must be done using the underlying future product code.

  NOTE: A translation of the Flex and Weekly option codes to the underlying futures codes is available on the EFS Home Page.

- For Soybean Crush Options the product code and quantity ratio differ between the option and the underlying futures, as shown in the table below.

  NOTE: A Crush Option Exercise or Assignment can be allocated using the option product code 31. The allocation will automatically apply the correct ratio to the corresponding Futures from Exercise or Assignment.

Commodity Code	Product
Commodity Code S	10 Soybean Futures
Commodity Code 06	11 Soybean Meal Futures
Commodity Code 07	9 Soybean Oil Futures

Entering or Importing Allocations

Users can enter single allocation details directly in the Allocation screen or import account and quantity details from a CME Group template that is available for download on the EFS application homepage. The following allocation modes are available:

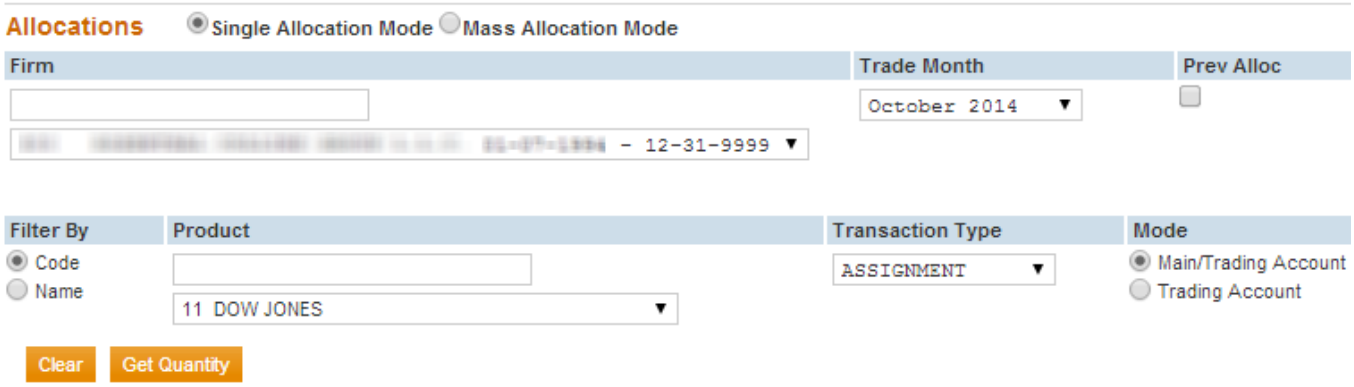
- Single Allocation Manual Entry
- Single Allocation Import
- Mass Allocation - Import only

Single Allocation Mode

Use Single Allocation Mode to search and allocate non-trade activity for a specific product exchange and a *single* commodity / product. In addition to entering single allocations directly, users can also download a template to enter then import allocations.

To manually enter single allocations:

1. From the EFS main menu, click **Allocations**.



2. From the Allocations page select **Single Allocation Mode**.
3. Specify the **Allocation Criteria**:
   - **Firm**
   - **Trade Month**

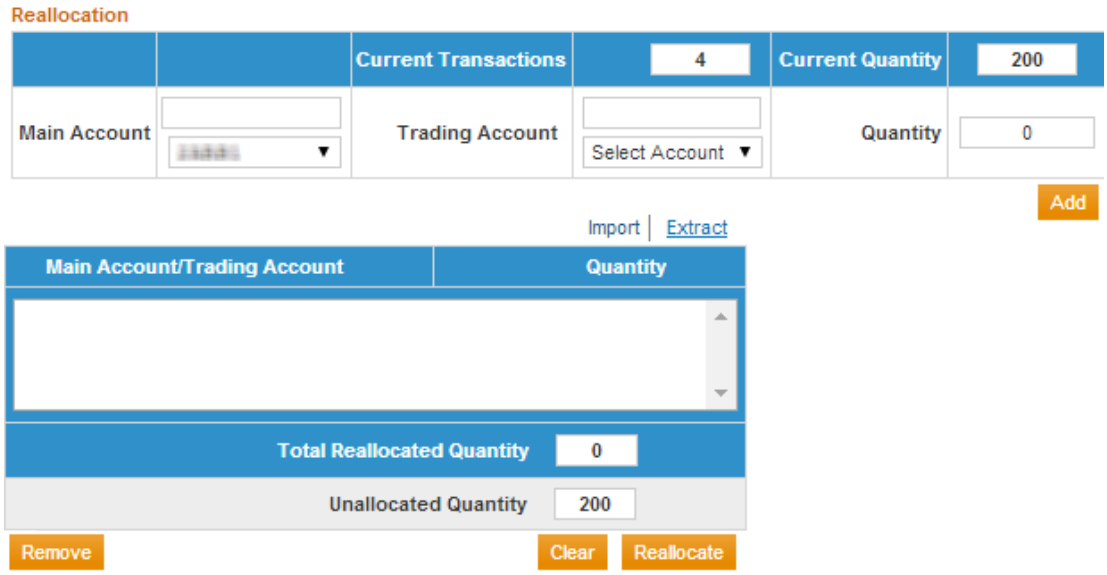
     Note: If allocating previously allocated trades, select the checkbox and specify the **Process Month**. Use the **Trading Account** (number) to which the transactions were previously allocated. Refer to: Editing Previously Allocated Trades.
   - **Product**

     Entering the first few characters filters available product selections.
     - **Code** - Enter the alphanumeric product code, then select from the available choices.
     - **Name** - Enter the Product Name, then select from the available choices.
   - **Transaction Type**
   - **Mode**
     - **Main/Trading Account** - Specify the Main Account, a Trading Account is not required.

       To ensure users do not enter an incorrect account number, this feature provides only accounts that have been registered in the Account Maintenance section.
     - **Trading Account** - Specify the Trading Account.

       This mode enables a user to input the respective trading account without restricting users to what has been registered within the EFS. This feature may also be utilized for allocating transactions to non-member accounts.
4. Click **Get Quantity**.

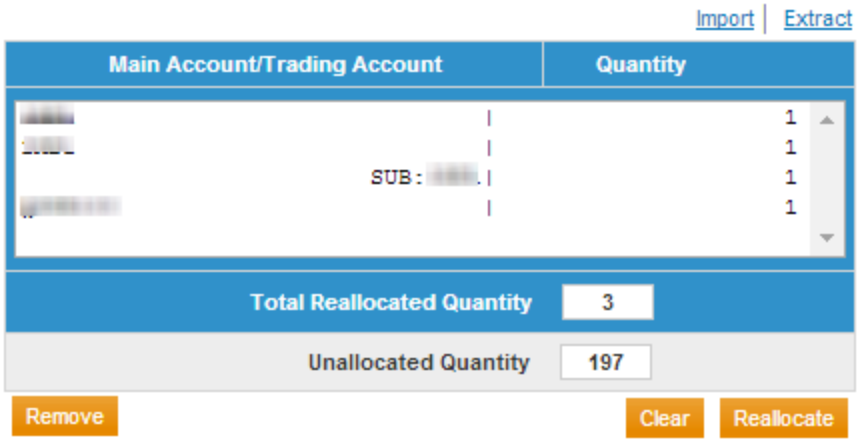
   Executes the search feature for the specified criteria. Each mode will display the following on the upper area of the allocation page. These numbers cannot be edited.
   - **Current Transactions** - Unallocated transaction count.
   - **Current Quantity** - Number of available contracts to be allocated.



5. On the **Reallocation** pane specify the **Main** and / or **Trading** Account and **Quantity** to allocate, then click **Add**.

   To allocate transactions to additional Main and / or Trading Accounts, repeat step 5.

   Users can continue to allocate as long as the **Unallocated Quantity** is greater than zero.



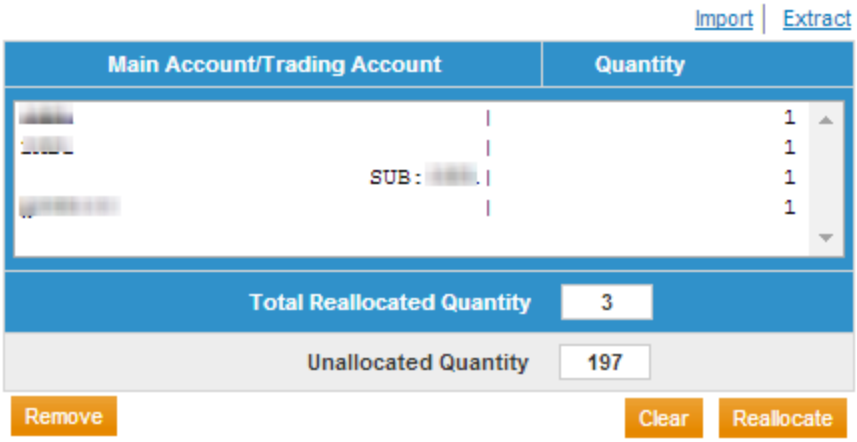
   The specified account and quantity appears in the reallocation pane. Review the accounts and quantities to verify is correct.

6. To complete the allocation(s), click **Reallocate**.

   For EFS to process allocations, users must click Reallocate.

To Remove an Account (Prior to completing the Allocation):

1. Within the Reallocation pane, highlight the line(s) to be removed.



2. Click **Remove**.

   A confirmation message appears.

3. To confirm, click **OK** or **Cancel** to exit.

   Upon clicking OK, a confirmation message appears and the unallocated transaction count is updated.

4. Click **Reallocate**.

   A confirmation message appears.

5. To finalize the submission, click **OK** or **Cancel** to exit.

   Upon clicking **OK** a confirmation message appears with a confirmation of the allocated quantity.

Note: After allocations have been submitted, they Cannot be changed during the same business day. The system processes allocations overnight and transactions are not available to edit the following day.

Reallocation Pane - Options	Description
Add	Adds the specified criteria to the reallocation pane.
Import	Refer to Single Allocation Import instructions.
Extract	Saves the reallocation details and queue as a pipe delimited text (flat) file.
Remove	Removes the selected transaction from the reallocation pane.
Clear	Clear all selections.
Reallocate	Reallocates the specified reallocation pane.

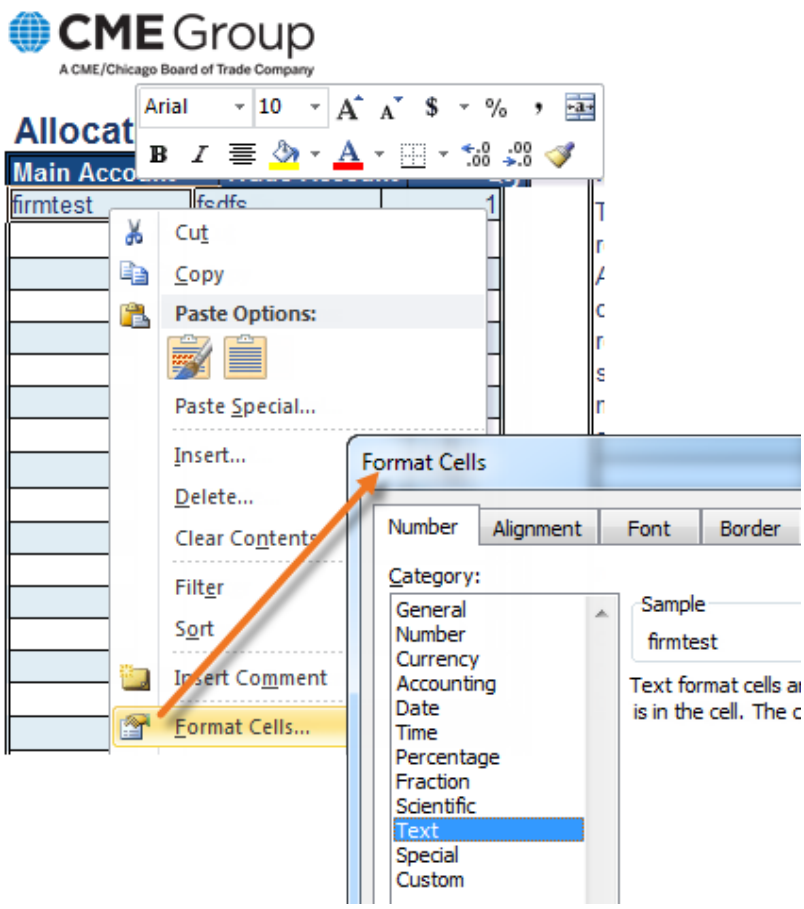
Single Allocation Import

Single Allocation Import is available after performing a search.

To perform a single allocation:

1. From the EFS Homepage download the **Allocation Import Template - Single**.
2. Format single allocation columns, as **text**.

Note: Select **column** > **right-click** > select **Format Cells** > Select **Number** tab > Select **Text**.



3. On the Single allocation spreadsheet, enter allocation details.

   Account number and quantity entry follows the same rules as Single Allocation entry via the screen.

   - **Main Account** - If the User has selected **Main/Trading Account**, Main account is required when populating the spreadsheet.

     Note: Trading account is not required.

   - **Trading Account** - If the User has selected mode **Trading Account**, Trading Account is required when populating the spreadsheet.

     Note: Main Account must NOT be entered or validation will fail.

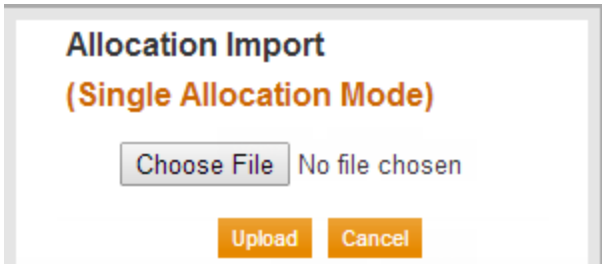
   - **Quantity (Qty)** - The required field that indicates the total non-trade activity that should be allocated for the specified Trade Month, Commodity Code, Trading Account.

     Upon finalizing the allocation, a confirmation message indicates an unallocated quantity of non-trade activity exists.

4. **Execute** the search based on the Trade Month, Commodity, Transaction Type and Mode, then click **Get Quantity**.

   The Import feature appears above the Reallocation pane.

4. Click **Import** (above the Reallocation pane), **Navigate,** then **Select** the completed Single Allocation spreadsheet.



The system performs a validation and imports allocation data in the reallocation pane. If validation is not successful a message indicates the likely error. Review *pending* allocation(s) to ensure it matches the spreadsheet.

Users can Add additional allocations, Remove, Clear or Extract displayed criteria. The Import function affects only the data within the Reallocation pane.

5. To finalize, click **Reallocate**.

   For EFS to process allocations, users must click Reallocate.

   Imported allocations impacts only the population of the data derived from the search.

Mass Allocation

Use the Mass Allocation mode to upload allocation details for non-trade activity for a specific product exchange and *multiple* commodities / products / allocation types (Exercise, Assignment, etc.) within a single upload. Mass allocation is performed by file upload only.

Prior to entering allocation details, use Reports or Transaction Viewer to determine the available quantity to allocate.

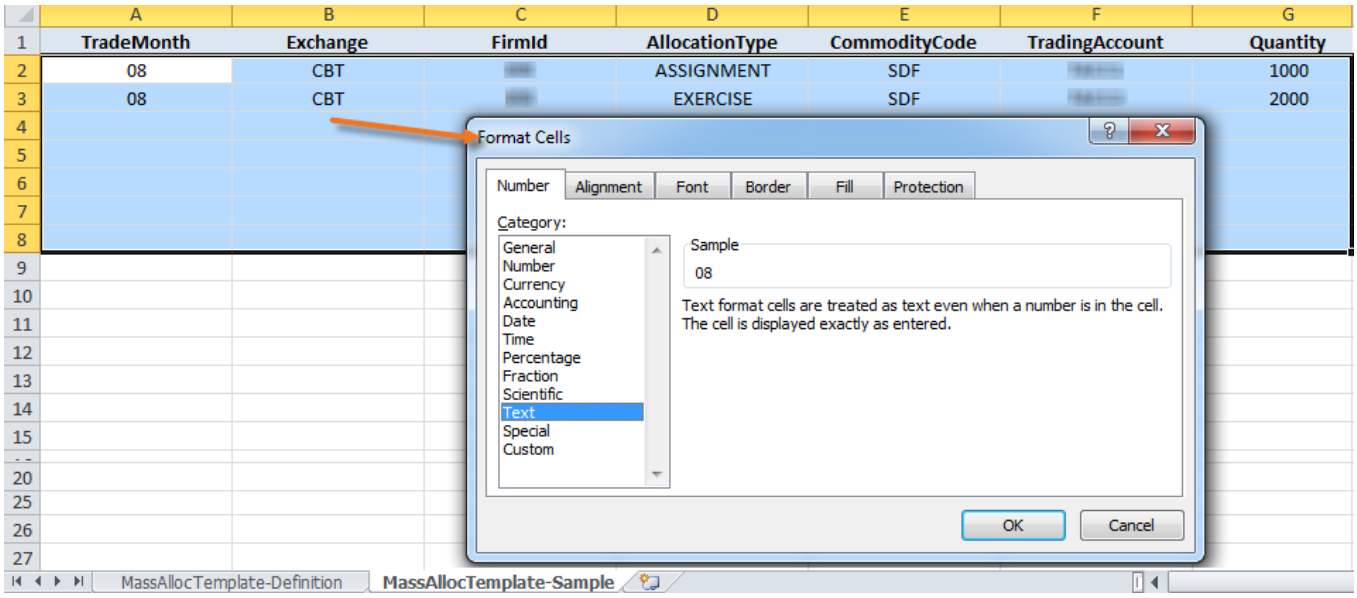
To perform a mass allocation:

1. From the EFS Homepage download the **Allocation Import Template - Mass**.

   The template is comprised of two tabs:

   - **Definition** - For the required fields, descriptions, maximum field lengths and examples of valid values are listed. This tab is for informational purposes and not included with the uploaded file.
   - **Sample** - Serves as a sample of an completed allocation worksheet.

2. Format cells, in Excel, as **text** (Select cells > Right-click > Number tab > Select Text).



3. On the Mass allocation import spreadsheet enter allocation details.

4. Click **File > Save As**, select **.csv (comma delimited)** format then **close** the file.

   A dialog appears, to confirm whether to save the active sheet (**OK**) or choose a format that enables multiple sheets (**Cancel**).

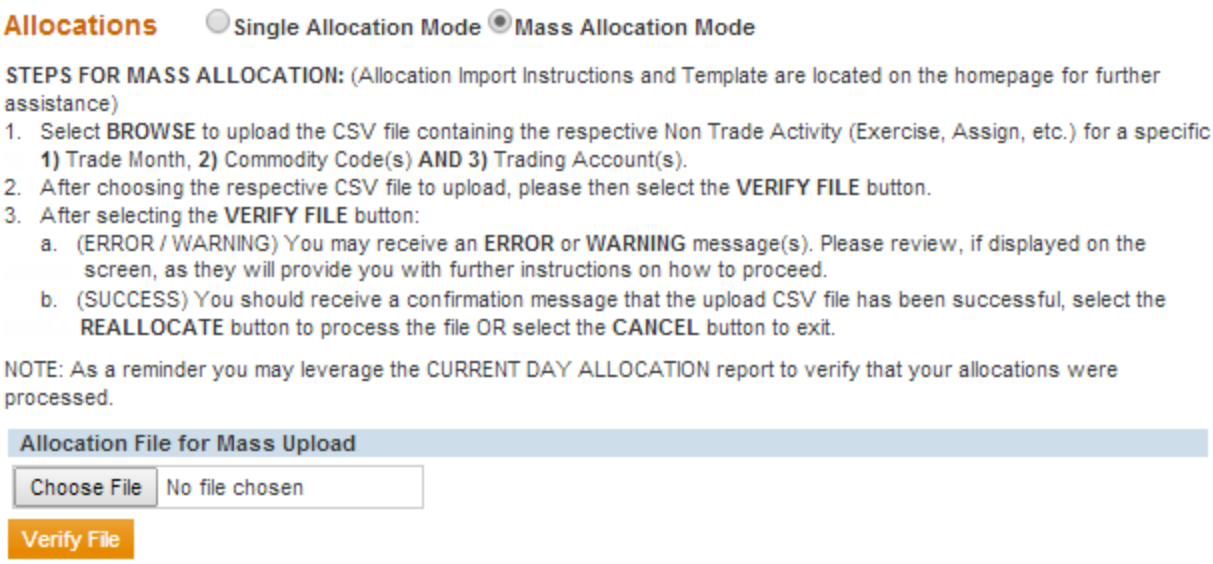
5. Select **OK**.

   A dialog appears, to confirm whether to save the workbook in CSV (comma delimited format). Incompatible features (visual and aesthetic formatting) will be lost.

6. From the EFS main menu, click **Allocations**.

7. From the Allocations page select **Mass Allocation Mode**.

   On-screen instructions and a file upload field appears.


Allocations
Single Allocation Mode
Mass Allocation Mode
STEPS FOR MASS ALLOCATION: (Allocation Import Instructions and Template are located on the homepage for further assistance)
1. Select BROWSE to upload the CSV file containing the respective Non Trade Activity (Exercise, Assign, etc.) for a specific 1) Trade Month, 2) Commodity Code(s) AND 3) Trading Account(s).
2. After choosing the respective CSV file to upload, please then select the VERIFY FILE button.
3. After selecting the VERIFY FILE button:
a. (ERROR / WARNING) You may receive an ERROR or WARNING message(s). Please review, if displayed on the screen, as they will provide you with further instructions on how to proceed.
b. (SUCCESS) You should receive a confirmation message that the upload CSV file has been successful, select the REALLOCATE button to process the file OR select the CANCEL button to exit.
NOTE: As a reminder you may leverage the CURRENT DAY ALLOCATION report to verify that your allocations were processed.
Allocation File for Mass Upload
Choose File
No file chosen
Verify File

8. Click **Choose File**, **Navigate**, then **Select** the completed Mass Allocation spreadsheet that contains the non-trade activity.

9. Click **Verify File**.

   A validation is performed.

   - **Success** - The system performs a validation and a confirmation message appears.
   - **Error / Warning**[1] - If the validation fails, and error or warning message appears with description of corrective measures and fields that failed validation.

There is 1 error on this page.
Hide Errors
FileMass Allocation File contains Error in Header Names (TradeMonth, Exchange, FirmId, AllocationType, CommodityCode, TradingAccoun
Upload:Quantity). Please use the exact header names listed in "Allocation Import Template - Mass" document located on the homepage.

Note: All error messages require resolution prior to a new file upload.

10. To finalize, click **Reallocate**.

    For EFS to process allocations, users must click Reallocate.

[1]An error message appears for the following situations: -Allocate MORE than the total quantity noted in EFS. -Header Names do not match the template. -Uploaded file is empty. -Trade Month leveraged is outside the CME Group's Rebate Policy. -More than one product exchange is within a single CVS file. -Firm Ids do not have appropriate EFS security access. -Invalid Commodity Codes and/or Allocation Types.

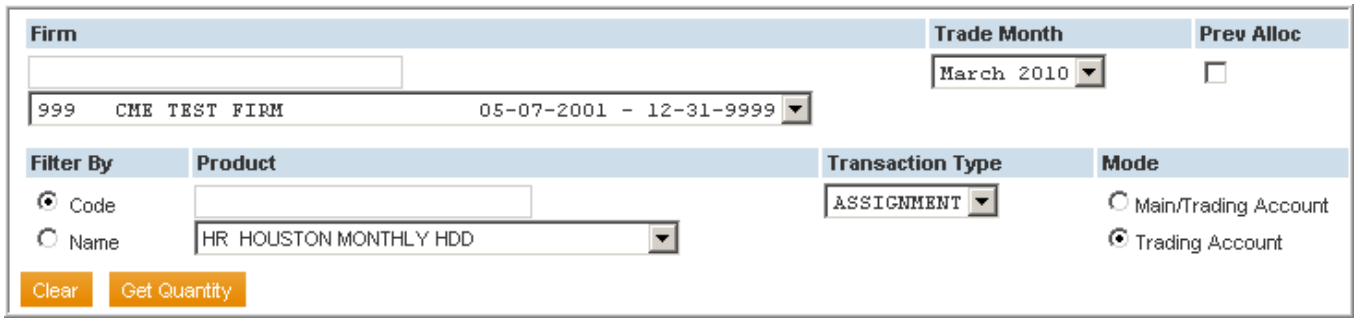
A warning message appears if you attempt to allocate less than the total non-trade quantity. The remaining quantity can be allocated in a subsequent upload.

Note: To verify non-trade allocation activity, for this and other uploads, review the Current Day Allocation report.

Editing Previously Allocated Trades

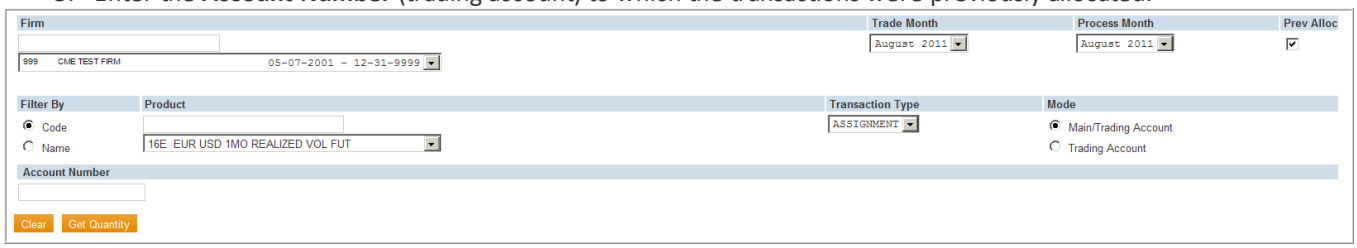
The **Prev Alloc** checkbox on the search form will allow the User to correct/update a previously allocated transaction.

Reallocation Screen with Prev Alloc Selection



Search Criterion for Previously Allocated Transactions:

1. Select the **Firm**.
2. Select the **Prev Alloc** checkbox.
3. After selecting the Prev Alloc checkbox, the **Trade Month** and **Process Month** will be displayed, defaulting to the current month. The trade month denotes when the original trade was cleared while process month denotes when the original allocation was processed. For instance, if a January 2010 Exercise was allocated in February 2010, the User must select January 2010 as the trade month and February 2010 as the process month.
4. Continue to select the **Product**, **Transaction Type** and **Mode** (By Main/Trading Account or Trading Account).
5. Enter the **Account Number** (trading account) to which the transactions were previously allocated.



6. Select the **Get Quantity** button to obtain the results based on the criterion selected in Steps 1-5.

   The results will display in the same format as if the transaction had never been allocated.
7. To complete the reallocation, follow the steps for **Performing Allocations**.

Allocation Field Descriptions

See the below table for more detailed descriptions of each Allocation field.

FIELD NAME	DESCRIPTION
Firm	This is equivalent to the trading member firm or also known as the executing firm. The User has authority to view specific firms and should choose the appropriate firm from their customized list.

FIELD NAME	DESCRIPTION
Product	Unique clearing symbol that identifies a particular commodity (product) traded at CME Group. From the drop-down list, select the specific product associated with the transaction to be allocated. Allocations must be done one product at a time. The Product list can be sorted using **Filter By** Code or Name.
Prev Alloc	(Optional) Select this box to edit transactions that were previously allocated. The User will need to enter the specific trading account to which the items were previously allocated.
Trade Month	The month in which the Non Trade Activity (exercise, assigned, delivered, etc.) occurred. Trade months should be within the CME Group Rebate Policy (**current plus two previous business months**) **NOTE**: During the first two business days of the month, the Trade Month field will default to the previous month. Thereafter, the Trade Month field will default to the current month. Only one month can be processed at a time.

Mode

Feature allows the User to perform allocations using the following options:

Main/Trading Account	This feature allows the User to allocate by the Main Account only. However, it is strongly encouraged by the CME Group Auditors to do allocations by Main Account and Trading Account, as this information is required in reviewing allocations during fee audit examinations. Also, this feature provides only those accounts that have been registered in the Account Maintenance section of the EFS application.
Trading Account	The Account for which the trade was executed. Enter the respective trading account without restricting the User to what has been registered within the EFS application. This feature may also be utilized for allocating transactions to non-member accounts. EFS will automatically correlate the entered trading account to a main account if one exists. **NOTE**: To ensure reduced rates are received, ensure that the trading account is appropriately registered within Account Maintenance.

Transaction Types

Allocations must be completed for one transaction type at a time. The types of transactions are:

Field Name	Description
Exercise	The process of exchanging an option for the underlying Futures contract.
Delivery	The tender and receipt of an actual commodity or financial instrument, or cash in settlement of a futures contract.
Assignment	The designation of an option writer for fulfillment of his obligation to sell the underlying futures contract (call options writer) or buy the underlying futures contract (put option writer) upon notice from the Clearing House. Notice to the seller of an option that has been exercised by the buyer.

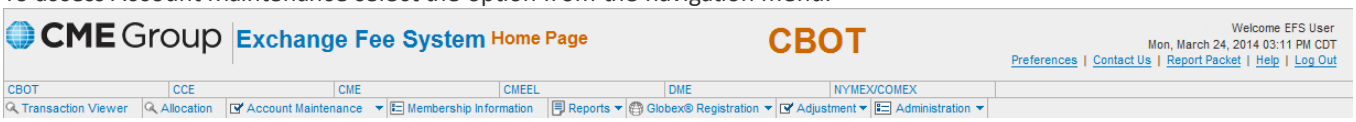
Expired Options	When the expiration date for an option passes without the option being exercised or offset.
Cash Settlement	The transfer of the associated cash position.
Future from Assignment or Exercise	The future created upon option exercise or assignment.
Swap from Assignment or Exercise	The swap created upon option exercise or assignment.

Account Maintenance

The Account Maintenance screen allows the User to add, edit, move and view accounts within the fee system.

Accessing Account Maintenance

To access Account Maintenance select the option from the navigation menu.



When Account Maintenance is selected, the sub-menu options appear.

Drop-down Menu:

- **View** – Select this option to create a new account or to view or update an existing account.
- **Search** – Select this option to search accounts across exchanges.
- **Mass Expire** – Select this option to expire multiple accounts at once, at the Main Account level.

Account Maintenance – View

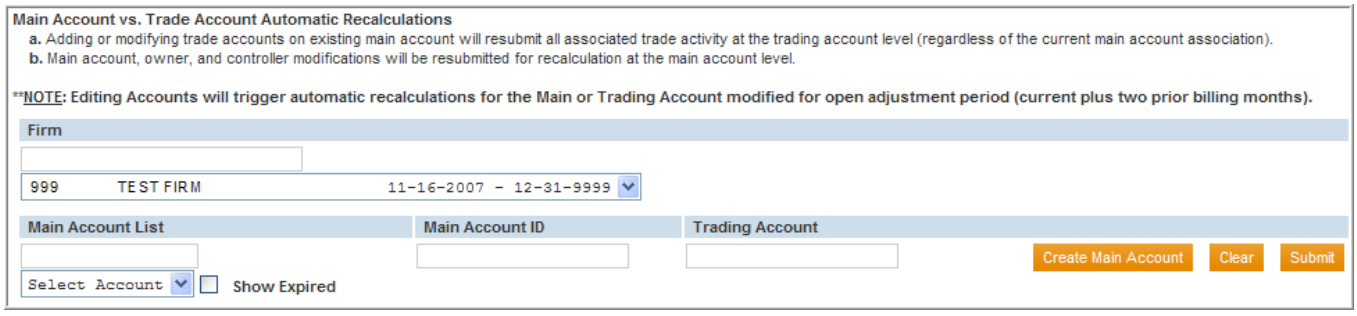
The Account Maintenance – View screen allows the User to add accounts and associate the owners and controllers (individuals trading with discretion) to those accounts. Without registered account information, the EFS application will default to the non-member rate. Therefore, it is important to ensure that accounts are registered timely and accurately.

Account creation is done at a Main Account level (also known as an account alias, grouping account or roll-up account). All Trading Accounts are then associated to the Main Account. The User can enter the account owner/controller association(s) once for the Main Account rather than several times for each individual Trading Account.

Upon accessing the Account Maintenance – View screen, the User will be able to perform the following functions:

- **Create a New Main Account** – This function allows the User to create/register new Main Accounts, which entails associating the underlying Trading Accounts and the account owners/controllers.
- **View Existing Main Account** – This function allows the User to search by Main Account or Trading Account and view the associated account details.
- **Edit Existing Main Accounts/Trading Accounts/Account Owners/Account Controllers** – These functions allow the User to modify the details for existing Main Accounts, including the associated Trading Accounts and the account owners/controllers.

Account Maintenance – Initial Screen


Main Account vs. Trade Account Automatic Recalculations
a. Adding or modifying trade accounts on existing main account will resubmit all associated trade activity at the trading account level (regardless of the current main account association).
b. Main account, owner, and controller modifications will be resubmitted for recalculation at the main account level.
**NOTE: Editing Accounts will trigger automatic recalculations for the Main or Trading Account modified for open adjustment period (current plus two prior billing months).
Firm
999 TEST FIRM 11-16-2007 - 12-31-9999
Main Account List
Main Account ID
Trading Account
Create Main Account
Clear
Submit
Select Account
Show Expired

Following is a description of the fields on this screen:

Field Name	Description
Firm	Firm that the Main/Trading Account clears under.
Main Account List	Drop down list that is automatically pre-populated with all the Main Accounts registered under the Firm selected. **NOTE**: To view expired Main Accounts, select the Show Expired box next to the Main Account List.
Main Account ID	Field that is automatically filled with the Main Account ID once the User chooses it from the Main Account List. The User may also choose the Firm and then type the Main Account number directly into the Main Account ID field.
Trading Account	The User may search for a registered Trading Account by entering a Trading Account number in this field and clicking Submit. **NOTE**: Trading account number entered must be an exact match, otherwise no results will be returned.

Single Exchange and Across Exchange Modes

When using the Account Maintenance – View screen to create or edit Main Accounts, the User will be able to perform these functions either for a single Exchange or for multiple Exchanges at once by selecting one of the following:

- **Single Exchange Mode** – This is the default mode which allows the User to apply changes to the single exchange under which the search was executed.
- **Across Exchange Mode** – This is an optional mode which allows the User to apply changes across multiple exchanges. Therefore, this mode can be used to create or update account information that is the same at multiple exchanges. This feature is enabled by selecting the radio button for the "Across Exchange Mode". This mode does not apply to CCE, CMEEL or DME .

The actions allowed within each mode are summarized in the following table:

Location	Action	Single Mode	Across Exchange Mode
Main Account Details	Copy Main/Trade Account(s)	X	
	Expire Main Account	X	X
	Edit Main Account	X	X
	Add/Modify Trading Account(s)	X	X
Account Owner	Add Owner	X	X
	Copy Owner(s)	X	
Controllers	Add Controller	X	X
	Copy Controller(s)	X	

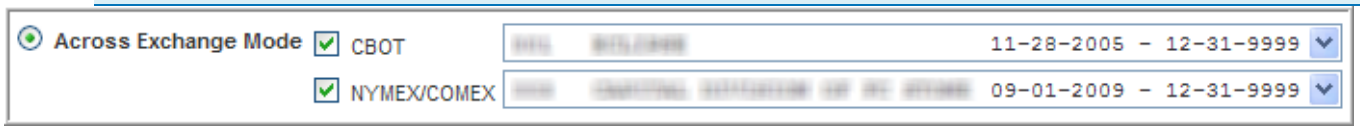
Across Exchange Mode

When this mode is selected, the User will need to perform the following additional selections:

a. **Exchange Selection**: Select the additional Exchange(s) to which the changes should be applied. Note: The other exchanges the User has been granted security access to will be available for selection, based on what exchange the User is in; for example, if the user is in the 'CME' exchange, selecting this mode will display CBOT and NYMEX, if the user has security access to those exchanges.

b. **Firm Selection**: After the exchange selection is complete, select the appropriate firm for each exchange (the firm number under which the account is/will be registered).

> **NOTE**: Firms available for selection are also based on the User's security access and only one firm per exchange may be selected.



Creating a New Main Account

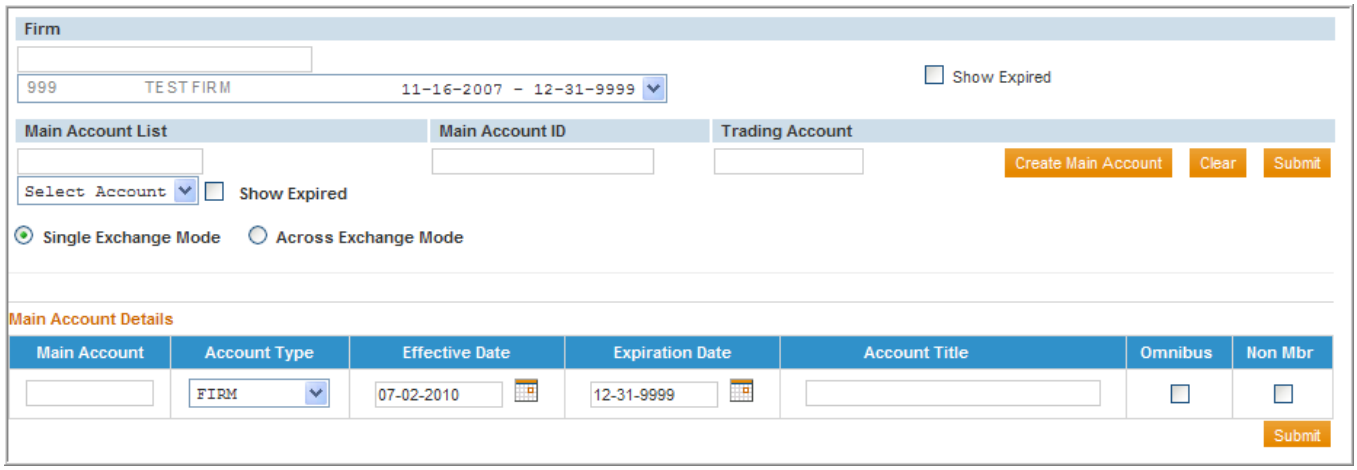
Within the Account Maintenance – View screen, the User can create a new Main Account by performing the following steps:

1. Select the **Firm** under which the main account will clear.
2. Select the **Create Main Account** button.
   - After the Create Account button has been selected, additional fields (Main Account, Account Type, Effective and Expiration Date, Account Title, Omnibus and Non Mbr Indicators) will appear.
3. Select **Single Exchange Mode** to create the Main Account within only the current Exchange or **Across Exchange Mode** to create the Main Account in the current Exchange and one or more additional Exchanges.

   In order to use the Across Exchange Mode when creating a new Main Account, the following conditions must exist:
   - Account owner must be the same across the selected Exchanges.
   - Account owner must have a membership/incentive program status across the selected Exchanges.
   - Main Account Number, Firm Type and effective date must be the same across the selected Exchanges.
   - Controllers must be members at each of the selected Exchanges. If Controllers differ across the selected Exchanges, the User will need to edit the Controllers in the **Single Exchange Mode**.
4. If **Across Exchange Mode** is selected, the following steps will have to be completed:
   a. Select the **Exchange**(s) by clicking the corresponding checkbox(es).
   b. Select the **Firm**(s) from the drop-down list.

Creating a New Main Account using Across Exchange Mode

Creating a New Main Account (Single Exchange Mode) and Associated Fields to be populated



5. Complete the **Main Account Details**.

Field Descriptions of the **Main Account Details**:

FIELD NAME	DESCRIPTION
Main Account	This is the Main Account (roll up account, account alias or grouping account) to which the User wishes to associate the Trading Account(s).
Account Type	Account Type selection determines the list available for the account owner selection: • **Firm** – Only Firm/Entities may be the account owner • **Individual** – Only Individual Members may be the account owner • **Joint** – Two or more Individual Members may be listed as the account owner • **Non-Member** – An account that is jointly owned by a Member and a Non-member can be registered under this account type.
Effective Date	The date the main account became effective.
Expiration Date	The date the main account is no longer active. If the account is active, the expiration date should be left as the default date of 12-31-9999.
Account Title	This field is required as an audit trail of the underlying account owner whenever the account owner identified in the clearing member's equity system (i.e. account statement) does not exactly match the account owner registered in EFS. Otherwise, this field is optional for the User to add a description for tracking purposes.
Omnibus	This indicator is used to identify an omnibus account for audit purposes only.
Non Mbr	This indicator is used to identify that the account is jointly owned by a Non-member. This will automatically be checked when an Account Type of Non-Member is selected, and will automatically result in the account receiving Non-member rates.

To enter main account details:

1. Enter the Main Account Number in the **Main Account** field.
2. Select the **Account Type** from the drop-down list.
3. Enter the Main Account's **Effective Date** by either:

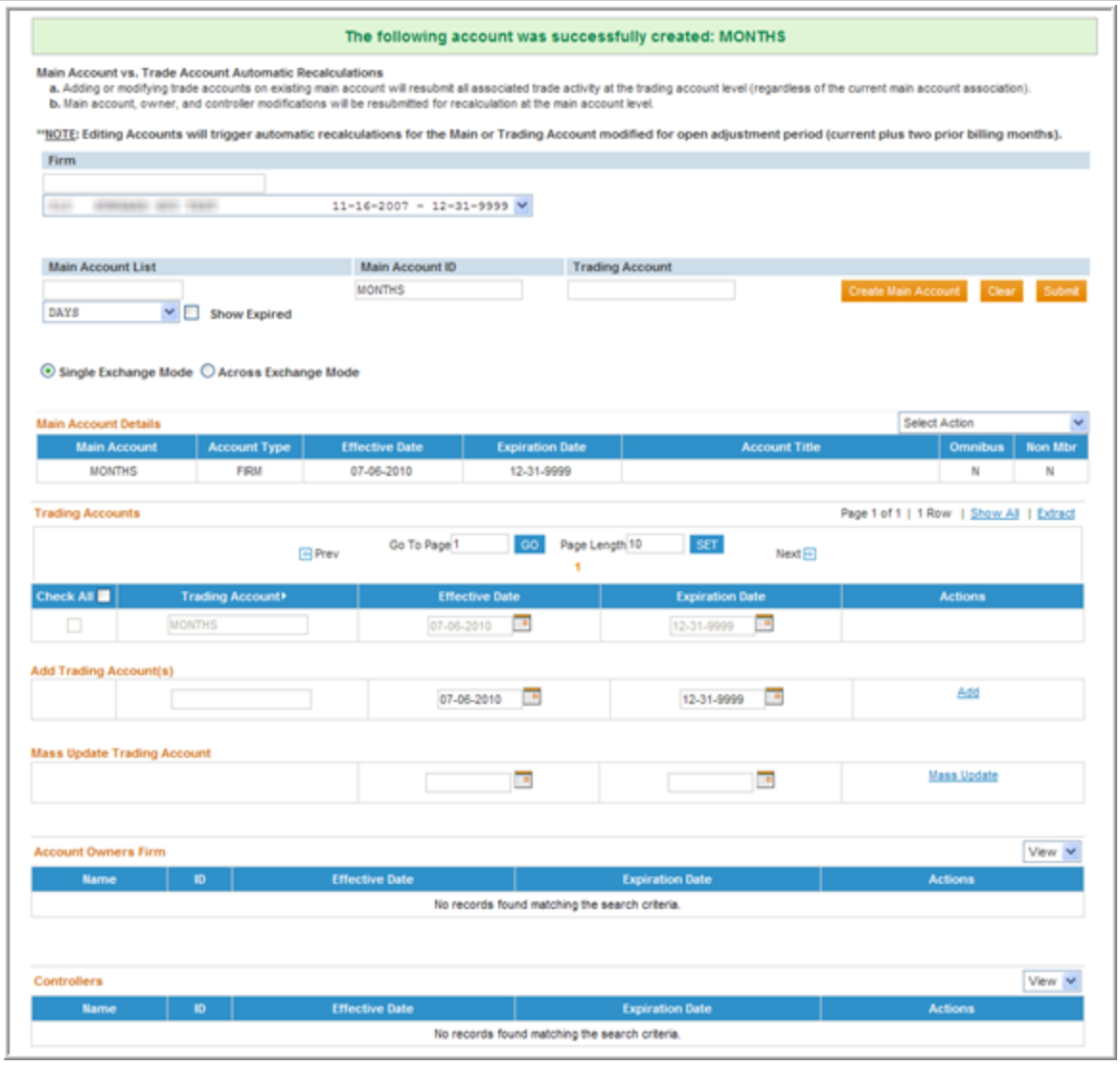
- Typing in the date (in the format of MM-DD-YYYY) or;
- Select the calendar icon to the right of the Effective Date field and select the appropriate date.

4. The **Expiration Date** will default to 12-31-9999 to indicate that the account will be active until a further update is made. To select a different Expiration Date either:
   - Type in the date (in the format of MM-DD-YYYY) or;
   - Select the calendar icon to the right of the Expiration Date text field and click on the appropriate date.
5. Enter a title in the **Account Title** field.
6. Select the check box if this is an **Omnibus** account.
7. Select the check box if a **Non-Member** jointly owns the account.
8. After completing each field, select the **Submit** button to create the main account details.

   A message will display confirming the main account has been created.

NOTE: Performing the above steps only creates the Main Account record. The User must also add the respective Trading Accounts and associate the account owners/controllers in order for the account to be eligible to receive reduced rates. Refer to the screen below noting the remaining fields that need to be completed.

New Main Account Successfully Created



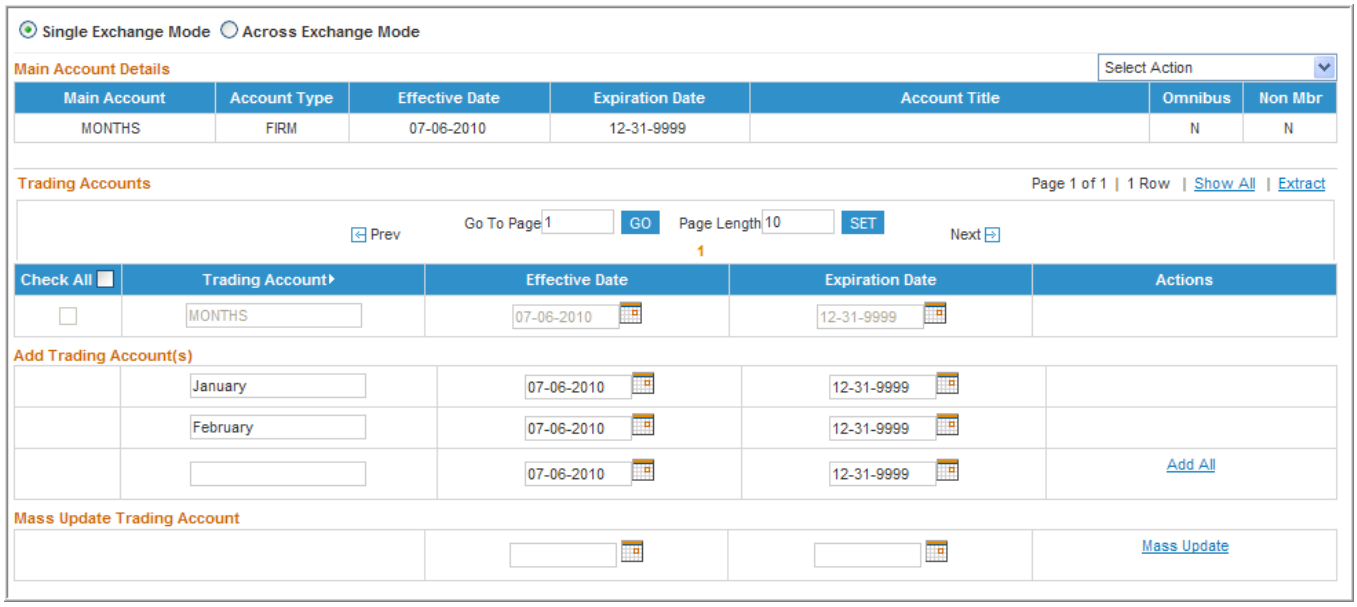
Adding Trading Accounts

Trading Accounts that have the same owner(s) and controller(s) can be grouped together under a single Main Account. If no grouping is done, then each Trading Account must be registered separately and will reflect the Trading Account number as the associated Main Account record. The Main Account record is utilized for applying the associated Exchange fees, so it is important that the Trading Account relationships are registered correctly.

NOTE: The Trading Account may only exist under one main account/clearing firm for a specific date range. Also, the Main Account entered will automatically become a Trading Account; therefore, this does not need to be re-entered.

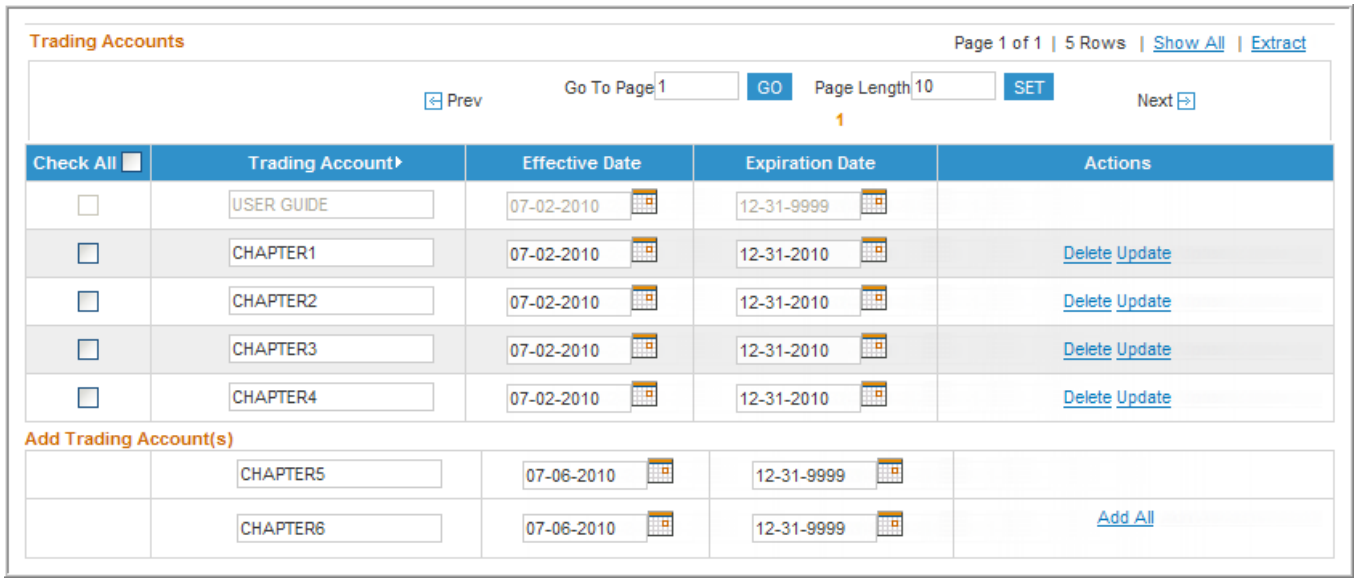
The following is displayed for the Trading Accounts section:

Trading Accounts

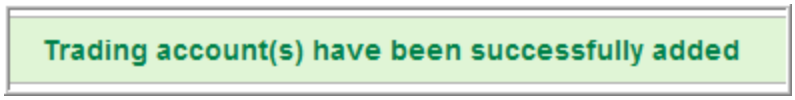


To add a new Trading Account:

1. Enter the account number (up to 20 characters) into the textbox in the first row under Add Trading Account(s).
2. Enter the associated Effective and Expiration dates (should be equal to or between the Main Account's effective and expiration dates).
   - To add multiple Trading Accounts where the effective and expiration dates are the same, use the ENTER key on the keyboard. After selecting 'ENTER', a new row will automatically be displayed to input the next Trading Account and the dates will already be populated.
   - To add multiple Trading Accounts where the effective and/or expiration dates differ, use the TAB key on the keyboard. The TAB key will bring the User to the next field and will create a new row once the Trading Account, Effective Date and Expiration Date have been entered in the current row.
3. After entering all of the Trading Accounts, click the Add (when a single Trading Account has been added) or Add All (when more than one Trading Account has been added) link under the Actions column.



4. A confirmation message will appear above the Account Details stating that the new Trading Account(s) have been successfully added.



NOTE: If the number of Trading Accounts registered exceeds 10, the system will automatically paginate the list at this time. To display all Trading Accounts, select the Show All hyperlink to remove the pagination.

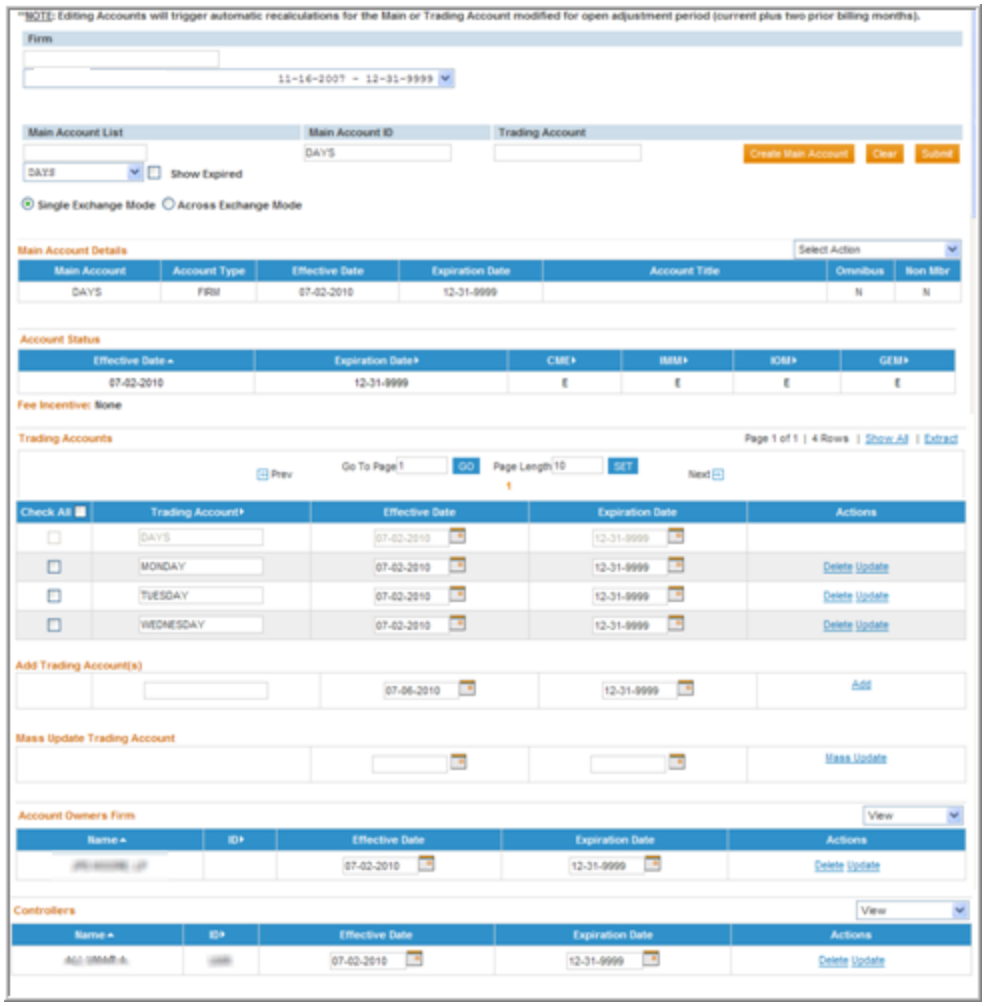
View Existing Main Account

Within the Account Maintenance – View screen, the User can view an existing registered Main Account by performing the following steps:

1. Select **Firm**
   - If the firm number is known, type it in the **Firm** box.
   - If the firm number is not known, click the arrow for the **Firm** drop-down, scroll through the list and click to highlight the appropriate firm.
2. Select the **Main Account**
   - Click the arrow for the **Main Account** List drop-down. The User will then be able to scroll through the list of main account numbers for that firm until the desired account is located or;
   - The User may utilize the Autocomplete feature that suggests possible main account matches as text is entered within the textbox. If the AutoComplete feature suggests more than one Main Account, click to highlight the appropriate account.
3. Select the **Trading Account** (Optional)
   - The User may enter a Trading Account Number to search for a specific trading account registered under the Main Account previously selected. The account number entered must be an exact match or no results will be returned.
   - The user may also choose to search using only this field if the Main Account is not known.
4. Select **Submit**
   - The associated account details will display after selecting the **Submit** button.

   NOTE: To view expired Main Accounts in the Main Account List drop-down, and to display expired account information in the corresponding results, check the box labeled “Show Expired”.

Account Maintenance – Results after Search Performed



Main / Trading Accounts

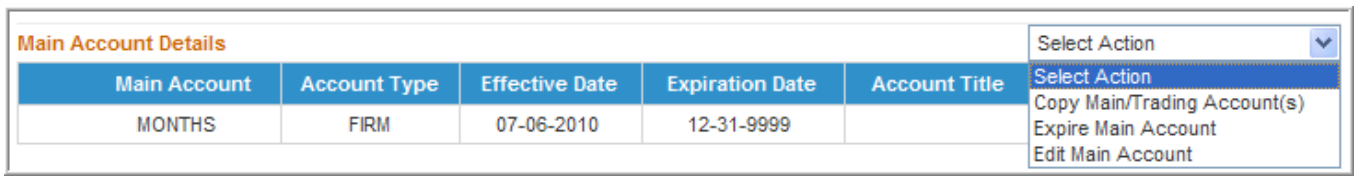
Within the **Account Maintenance – View** screen, users can modify the details for existing Main Accounts, including the associated Trading Accounts and the account owners/controllers.

NOTE: For any modifications made within the Account Maintenance screen the system will automatically submit for recalculation the associated transactions for the open adjustment period (current plus two prior billing months).

Modifying Main Accounts

After locating an existing main account, the following action items are available:

Modifying Main Account: Select Action Items



- Copy Main/Trading Account
- Expire Main Account
- Edit Main Account and associated Trading Accounts

Additional Functions:

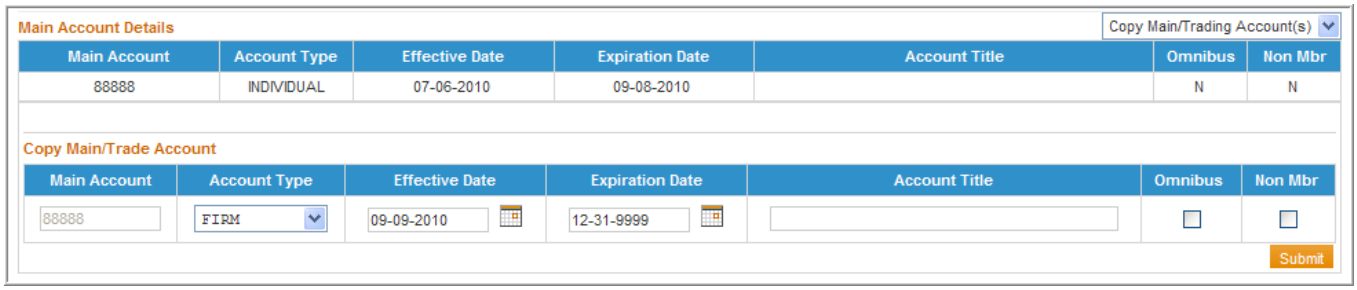
- Modifying Trading Accounts
- Add/Modify Account Owner
- Add/Modify Account Controller

Copying Main/Trading Account(s)

This feature is available in **Single Exchange Mode** only. The most common use of the Copy Main/Trading Account(s) feature is when the Account Type is changing for an existing Main Account, for example, from or to the Individual to Firm. The User can expire the existing Main Account and then use the Copy feature to recreate the same Main/Trading account grouping with a modified account type.

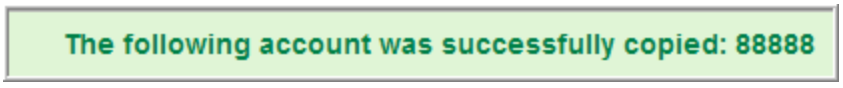
The Main/Trading Account 'to be copied' must be expired prior to executing the Copy Main/Trading Account(s) functionality; two active instances of the same Main/Trading Account(s) cannot exist.

1. Once the Main Account the User is copying from has been expired, perform a search for that Main Account by selecting the **Show Expired** box.
2. Select **Copy Main/Trading Account**(s).
3. The **Copy Main/Trade Account** section will display.
4. The User can edit the following:
    - Account Type
    - Effective or Expiration Date (Note: The effective date must be greater than or equal to the next calendar date after the expired date, so there is no overlap).
    - Account Title
    - Omnibus Indicator
    - Non-Member Indicator



5. After the appropriate fields have been updated, click **Submit**.

    A confirmation message will display above the account details stating that the account has been copied.



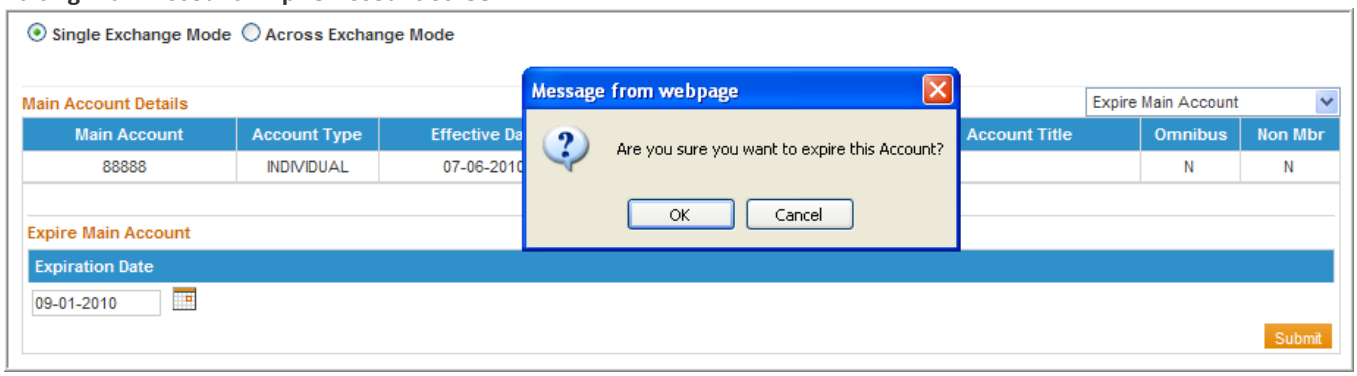
NOTE: The copy feature will NOT copy over the Owners and Controllers since the account type has likely changed. The User is required to add the Owners and Controllers as needed.

Expiring Main Account

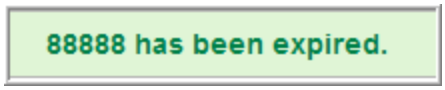
This feature allows the Main account and all of its associations (trading accounts and owners/controllers) to be expired. Note: The User may use the Across Exchange Mode to expire the Main Account at multiple Exchanges simultaneously, as long as that account exists at each selected Exchange.

1. From the drop-down, select Expire Main Account.
2. The Expire Main Account section will display.
3. Enter the Expiration Date (MM-DD-YYYY) manually or use the calendar icon to select the expiration date.
4. Select the Submit button.
5. A Message Box will display asking the User to confirm the expiration of this account. Select OK to continue the expiration, or select Cancel.

Editing Main Account: Expire Account Screen



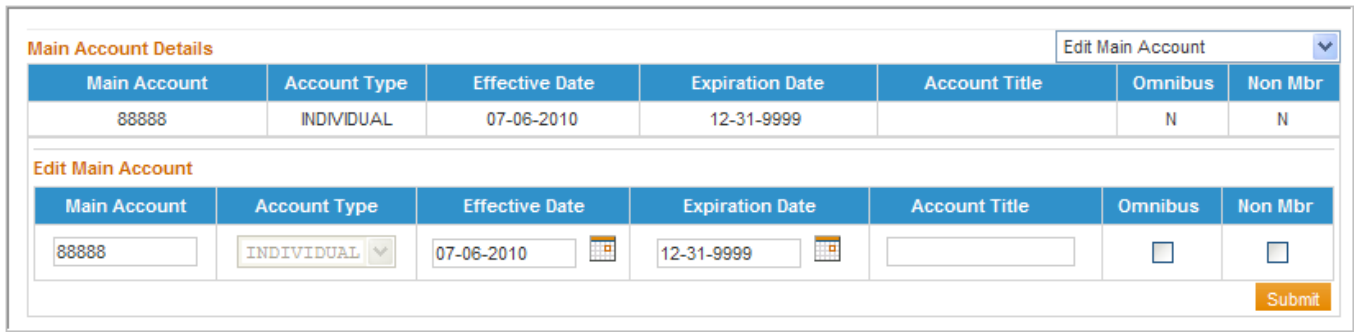
6. If OK was selected, then a confirmation message will display above the Account Details section stating that the account has been expired.



NOTE: Once the main account has been expired, the only way to view this account and all its associated trading accounts is to click the "SHOW EXPIRED" box when submitting a search.

Edit Main Account

This feature allows the User to edit the Main account details. Note: The User may use the Across Exchange Mode to edit the Main Account at multiple Exchanges simultaneously, as long as that account exists at each selected Exchange.



1. From the drop-down, select Edit Main Account.
2. The User can edit the following:
   - Main Account Number
   - Effective or Expiration Date
   - Account Title

- Omnibus Indicator
- Non-Member Indicator

NOTE: The Account Type field cannot be modified; the user must instead expire the Main Account and create a new Main Account record using the Copy Main/Training Account(s) function noted above.

3. After the appropriate fields have been updated, click Submit. A confirmation message will display above the Account Details stating that the account has been updated.

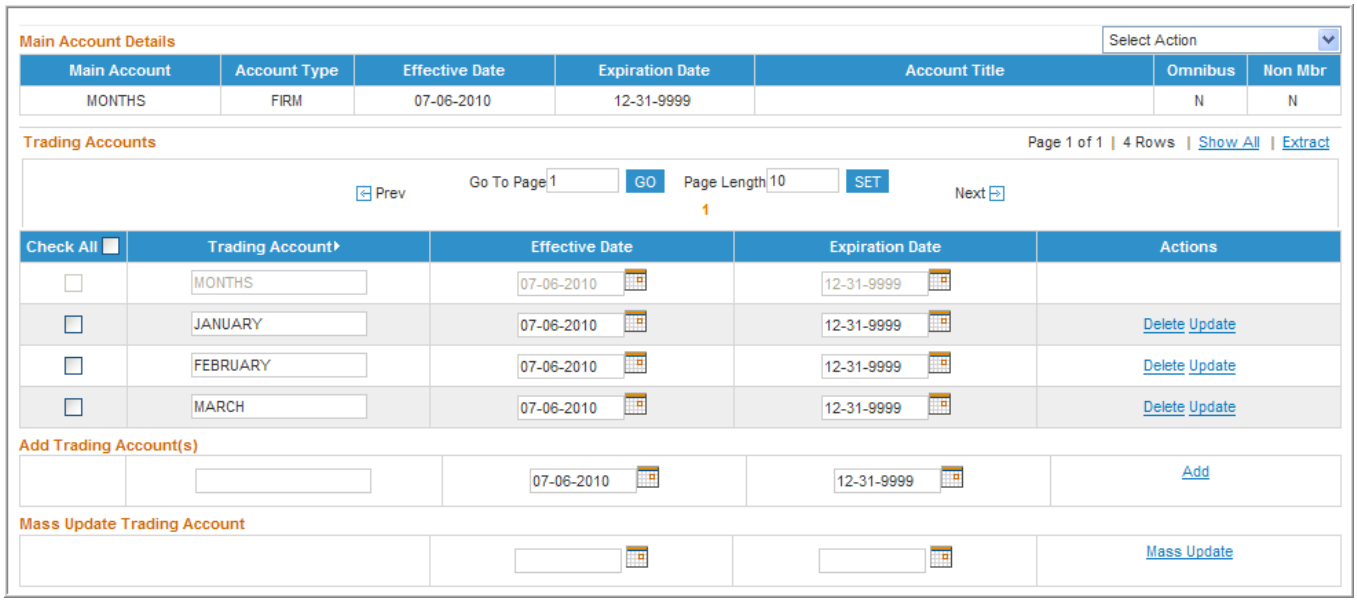
Modifying Trading Accounts

When viewing an existing Main Account, the associated trading accounts are displayed under the Trading Accounts section. Note: The User may use the Across Exchange Mode to edit Trading Account(s) at multiple Exchanges simultaneously, as long as the Trading Account(s) exist at each selected Exchange.

The User can perform the following with respect to Trading Accounts:

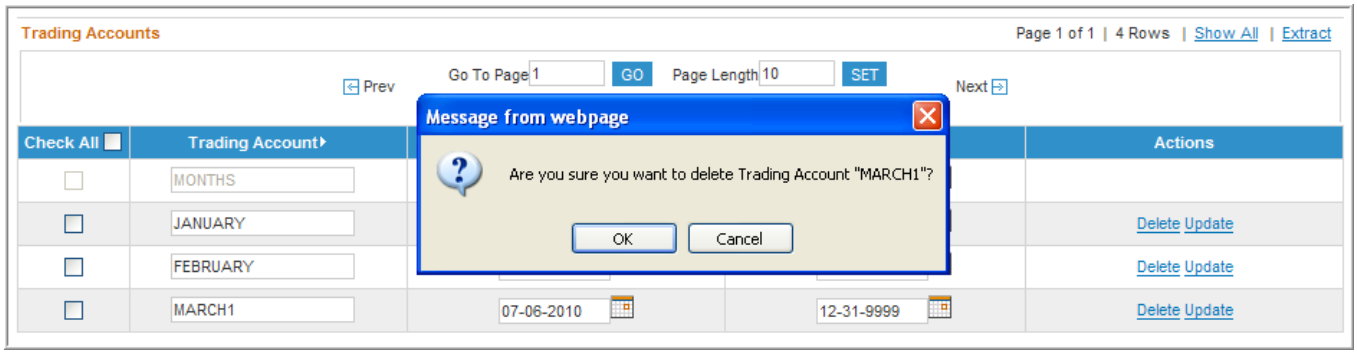
- **Delete** Trading Account
- **Update** Trading Account Number and/or Effective/ Expiration Dates
- **Mass Update** Trading Account Effective and/or Expiration Dates

Modifying Trading Account: Action Items



To Delete a Trading Account:

1. Identify the appropriate row containing the trading account to be deleted. Select the **Delete** hyperlink in the Actions column for that row.
2. A Message Box will display asking the User to confirm the deletion of the trading account. Select **OK** to continue, or select **Cancel**.

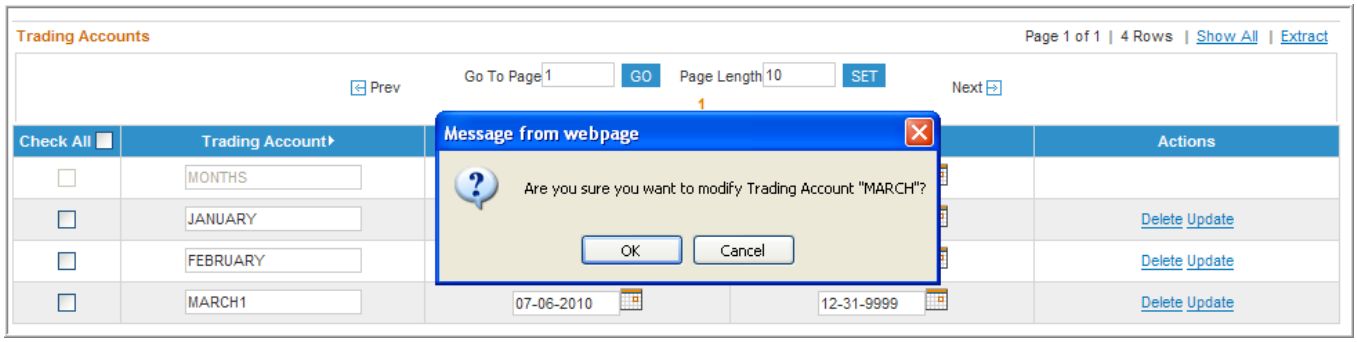


3. If **OK** was selected then a confirmation message will display above the Account Details section noting the trading account has been deleted.

Deleting Trading Account: Confirmation Message

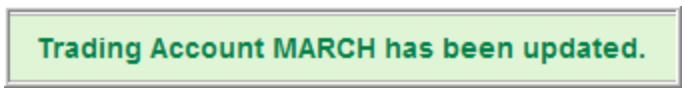
To Update Trading Account Number and/or Effective/Expiration Dates:

1. Identify the appropriate row containing the trading account to be updated.
2. The following may be updated: Trading Account Number, Effective Date and/or Expiration Date.
   - If an existing **Trading Account Number** needs to be updated, simply type over what is listed in the textbox.
   - If the **Effective Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date. Note that the effective date must be equal to or greater than the main account's effective date.
   - If the **Expiration Date** needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the expiration date. Note that the expiration date must be equal to or less than the main account's expiration date.
3. Click on the **Update** hyperlink in the Actions column for that row.
4. A Message Box will display asking the User to confirm the modification(s).Select **OK** to continue, or select **Cancel**.



e. If OK was selected then a confirmation message will display above the Account Details section noting the trading account has been updated.

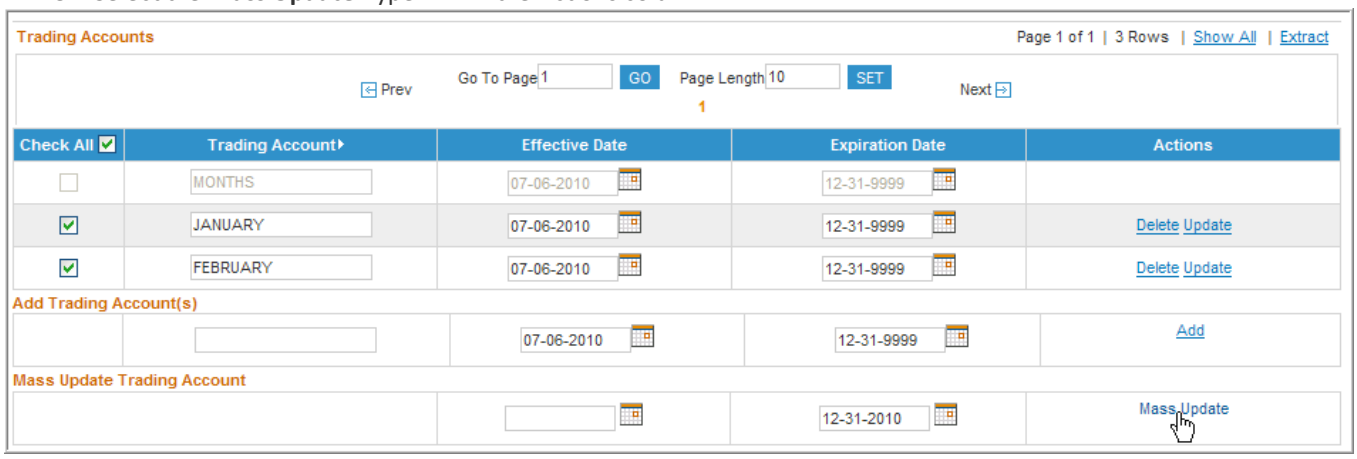
Modifying Trading Account: Confirmation Message



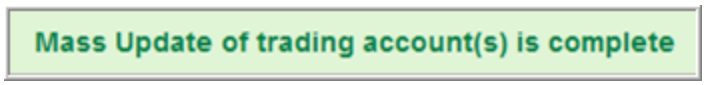
To perform a Mass Update of Trading Account Effective and/or Expiration Dates:

This feature allows the Effective Date and/or Expiration Date to be updated on multiple Trading Accounts simultaneously.

1. The User can either designate individual Trading Accounts to be updated by selecting the check box in front of each account, or the User may designate all the Trading Accounts displayed on the screen to be updated by selecting the **Check All** box.
    - If the Trading Account list is paginated, the user must first select the **Show All** hyperlink at the top right of the Trading Accounts section in order to update the entire list of accounts at once using the Check All feature. Otherwise, only the Trading Accounts displayed on the current page will be updated.
2. Enter the new **Effective Date** and/or **Expiration Date** in the **Mass Update Trading Account** section. If updating only one of these dates, leave the other date field blank.
3. Select the **Mass Update** hyperlink in the Actions column.



A confirmation message appears.



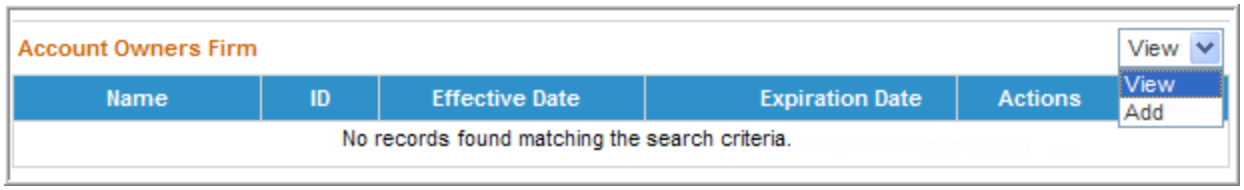
Adding Owners to the Main Account

The account owners and controllers must be added to the Main Account in order to ensure that the appropriate fees will be applied. To add an owner/controller to a Main Account, the User will need to do the following:

To Add an Account Owner:

1. From the section labeled Account Owners, select **Add** from the drop-down list above the Actions column.

Add an Account Owner



2. After selecting **Add**, the search form will appear.
3. When adding Owner(s) in **Across Exchange Mode**, the account owner list available for selection will contain only potential account owners that have member or incentive program status at all exchanges specified. If the account owner does not appear in the list, the User should review the owner's status at each Exchange selected and revise the Exchange selections accordingly.
4. Select the Account Owner by utilizing the **Filter By** feature.

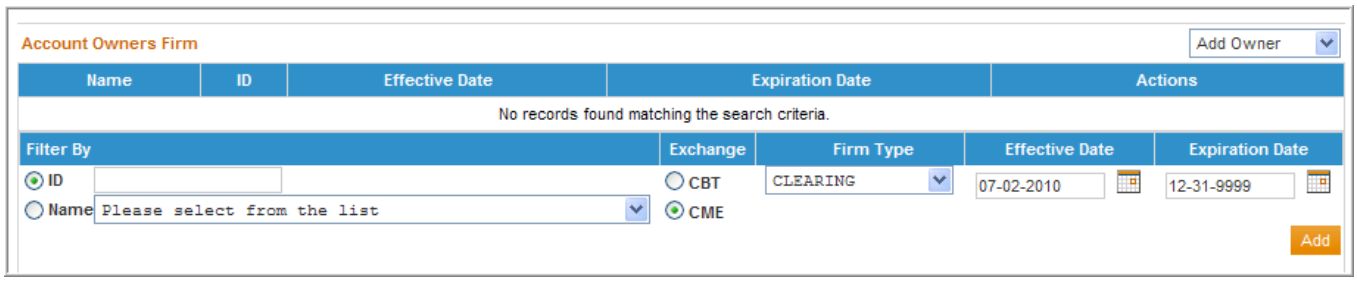
- For Account Type Individual the User will have the following Filter By features to locate the account owner:
  - **Name**: Select the Name radio button and type the first few characters of the individual's last name in the textbox. The drop-down will automatically narrow the User's search to the name that matches what was entered. Select the appropriate member from the list.
  - **Symbol**: Select the Symbol radio button and type the first few characters of the individual's member acronym in the textbox. The drop-down will automatically narrow the User's search to the symbol that matches what was entered. Select the appropriate member from the list.

Adding Account Owner: Filter By Individual

NOTE: When adding an Individual Member as account owner, that individual will also automatically be added as a controller.

- For Account Type Firm the User will have the following Filter By features to locate the account owner:
  - **ID**: Select the ID radio button and type the firm ID in the textbox. The drop-down menu contains firm IDs and will automatically narrow the User's search to the ID that was entered. If the ID does not appear in the drop-down list scroll through the list and select the ID of the appropriate firm.
  - **Name**: Select the Name radio button and type the first few characters of the firm's name in the textbox. The drop-down will automatically narrow the User's search to the firm that was entered. Select the appropriate firm from the list.

Adding Account Owner: Filter By Firm



5. Select an **Exchange**.

   NOTE: this field exists only in the **Single Exchange Mode** and applies to CME and CBOT only, where members of one Exchange can also be registered as account owners for the other Exchange. For CBT only, there will be an additional selection for KCBT, which is used to identify a KC HRW Incentive Program Participant. .

6. Select the **Firm Type** (Member or Incentive Program category).
7. Enter the **Effective** and **Expiration Date** of the Account Owner. Note that dates must be equal to or between the Main Account's date range.
8. Select the **Add** button. A confirmation message will appear above the Account Owner, stating that the account owner has been added. Note that only one owner is allowed unless the account type is specified as a **joint** account. If it is a joint account, then the User may continue to add as many owners to the account as needed.

Modifying Account Owners

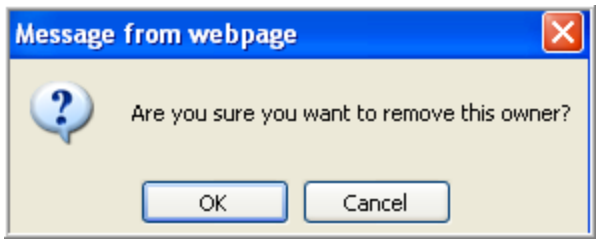
When viewing an existing Main Account, the associated account owner(s) are displayed under the Account Owners section. Note: The User may use the Across Exchange Mode to edit account owner(s) at multiple Exchanges simultaneously, as long as the Main Account(s) exist at each selected Exchange.

The User can perform the following with respect to Account Owner:

- **Delete** Account Owner
- **Update** Account Owner(s) Effective and/or Expiration Dates
- **View** Membership will redirect the User to the Membership screen to view the account owner's membership status.

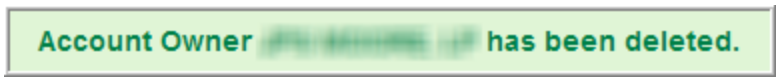
To Delete an Account Owner:

1. Identify the appropriate row containing the account owner to be deleted. Select the Delete hyperlink in the Actions column for that row in order to the delete that account owner.
2. A Message Box will display asking the User to confirm the deletion of the owner. Select OK to continue, or select Cancel.



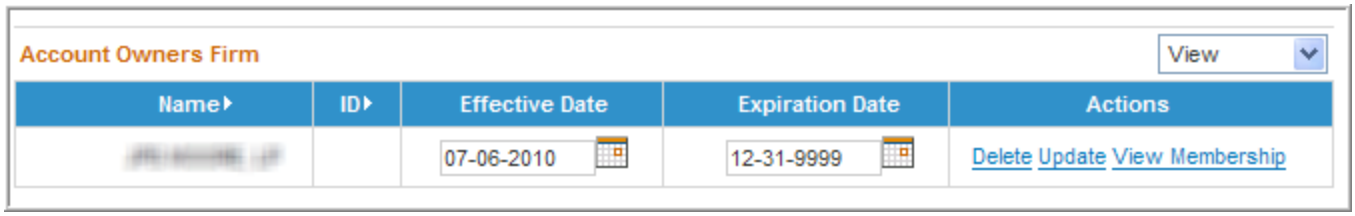
3. If OK was selected then a confirmation message will display above the Account Details section confirming the account owner has been deleted.

Deleting Account Owner: Confirmation Message



NOTE: If you are deleting an individual member account owner, the system will also automatically delete the controller record for that member.

To Update Account Owner(s) Effective and/or Expiration Dates

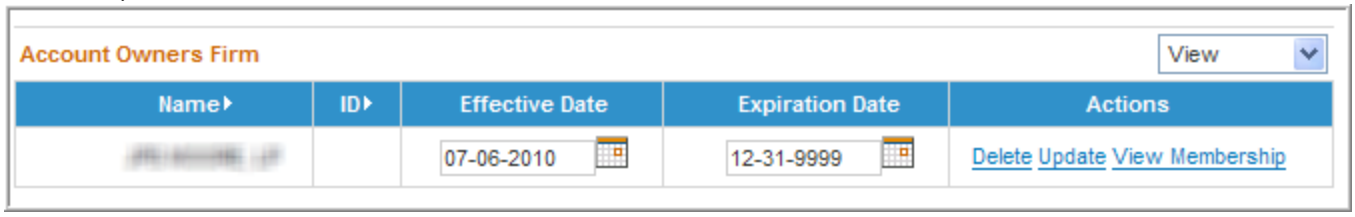


1. Identify the appropriate row containing the account owner to be updated.

   If the Effective Date or Expiration Date needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date.

   - **Effective Date** must be equal to or greater than the Main Account's effective date.
   - **Expiration Date** must be equal to or less than the Main Account's expiration date.

2. Select the Update hyperlink in the Actions column for that row to apply the updates to the Owners' Effective and/or Expiration Dates.



3. A Message Box will display asking the User to confirm the updates. Select **OK** to continue, or select **Cancel**.
4. If **OK** was selected then a confirmation message will display above the Account Details section confirming the account owner has been updated.

> **NOTE**: If you are updating an individual member account owner, the system will automatically update the controller record for that member.

To View Membership:

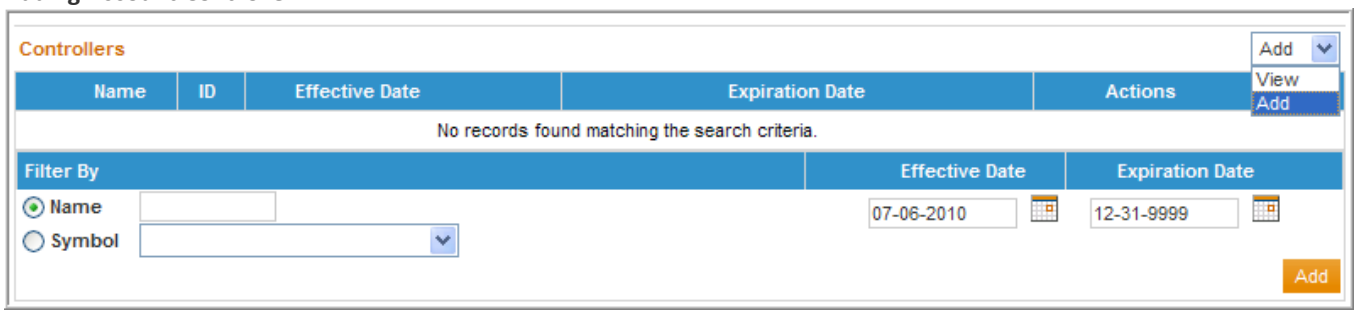
1. Identify the appropriate row containing the account owner to view.
2. Select the View Membership hyperlink in the Actions column for that row in order to the view that account owner's membership information.
3. The User will be redirected to the Membership Information screen.
4. To return back to the Account Maintenance screen click on the Main Account ID line item within the Account Owners section.

Adding Account Controllers

Controllers should be added if an individual member is trading the account with discretion. Note that for an individual account the member listed as the account owner will automatically be listed as a controller.

1. From the section labeled **Controllers**, select **Add** from the drop-down list above the Actions column.
2. After selecting **Add**, the **search form** will appear.
3. When adding Controller(s) in Across Exchange Mode, the controller list available for selection will contain only potential controllers that have member status at all exchanges specified. If the controller does not appear in the list, the User should review the individual's status at each Exchange selected and revise the Exchange selections accordingly.
4. Use the **Filter By** fields to find the designated Controller.

Adding Account Controller



- Controllers can only be Individual Members therefore, the User will have the following Filter By features to locate the respective controller:
  - **Name**: Select the Name radio button and type the first few characters of the individual's last name in the textbox. The drop-down will automatically narrow the User's search to the name that matches what was entered. Select the appropriate member from the list.
  - **Symbol**: Select the Symbol radio button and type the first few characters of the individual's member acronym in the textbox. The drop-down will automatically narrow the User's search to the symbol that matches what was entered. Select the appropriate member from the list.

5. Enter the **Effective** and **Expiration** Date of the Account Controller. Note that dates must be equal to or between the Main Account date range.
6. Select the **Add** button. A confirmation message will appear stating that the controller has been added. Continue to add as many account controllers as necessary.

Modifying Account Controllers

When viewing an existing Main Account, the associated account controller(s) are displayed under the Controllers section. Note: The User may use the Across Exchange Mode to edit controller(s) at multiple Exchanges simultaneously, as long as the Main Account(s) exist at each selected Exchange.

The User can perform the following with respect to Account Controller:

- **Delete** Account Controller
- **Update** Account Controller(s) Effective and/or Expiration Dates

To Delete an Account Controller:

1. Identify the appropriate row containing the account controller to be deleted, select the Delete hyperlink in the Actions column for that row in order to delete that account controller.
2. A Message Box will display asking the User to confirm the deletion of the controller. Select OK to continue, or select Cancel.
3. If OK was selected then a confirmation message will display above the Account Details section confirming the account controller has been deleted.

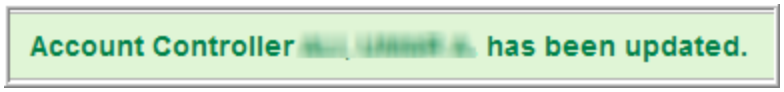
Deleting Account Controller: Confirmation Message

NOTE: In order to delete a controller who is also an account owner, that member's account owner record must be deleted.

To Update an Account Controller(s) Effective and/or Expiration Dates

1. Identify the appropriate row containing the controller to be updated.
    - If the Effective Date or Expiration Date needs to be updated, the User may manually type over the date (MM-DD-YYYY) or select the calendar icon to select the effective date.
        - **Effective Date** must be equal to or greater than the Main Account's effective date.
        - **Expiration Date** must be equal to or less than the Main Account's expiration date.
2. Select the Update hyperlink in the Actions column for that row to apply the updates to the Controller's' Effective and/or Expiration Dates.
3. A Message Box will display asking the User to confirm the updates. Select OK to continue, or select Cancel.

Updating Account Owner: Confirmation Message



4. If OK was selected then a confirmation message will display above the Account Details section confirming the account controller has been updated.

    NOTE: If you are updating an individual member account controller who is also listed as an account owner, the system will automatically update the owner record for that member.

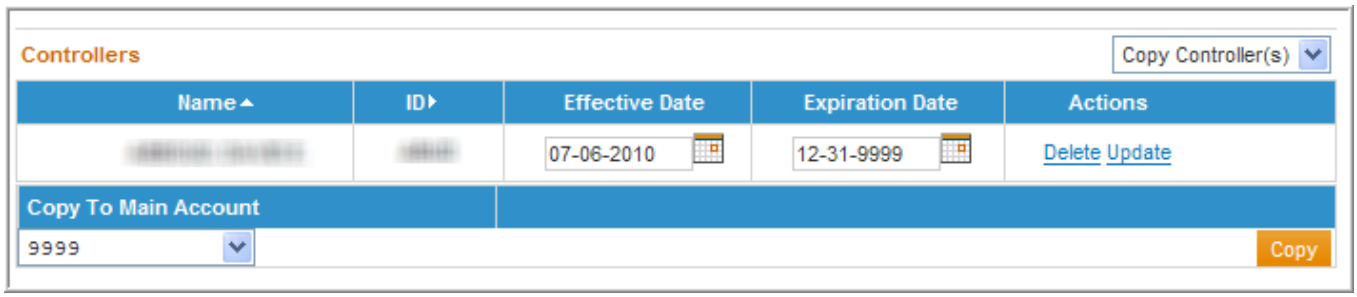
Copying Owners/Controllers

This feature will copy all active owners/controllers from one registered main account to another within the same Exchange; these features are available only in the **Single Exchange Mode**.

To copy owners/controllers the User will need to do the following:

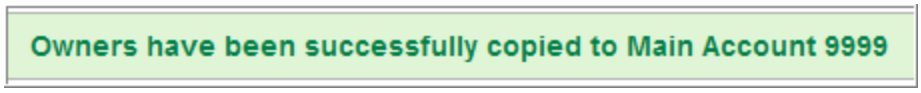
To Copy Owners:

From the section labeled Account Owners, select **Copy Owner**(s) from the drop-down list above the Actions column. The **Copy To Main Account** field will display.



To Copy an Account Owner:

1. Select the registered Main Account from the drop-down list to copy the Owner(s) to.
2. After selecting an account, click **Copy**. A confirmation message will display:



NOTE: When an individual is copied as an owner to another account, they are also automatically added to that account as a controller.

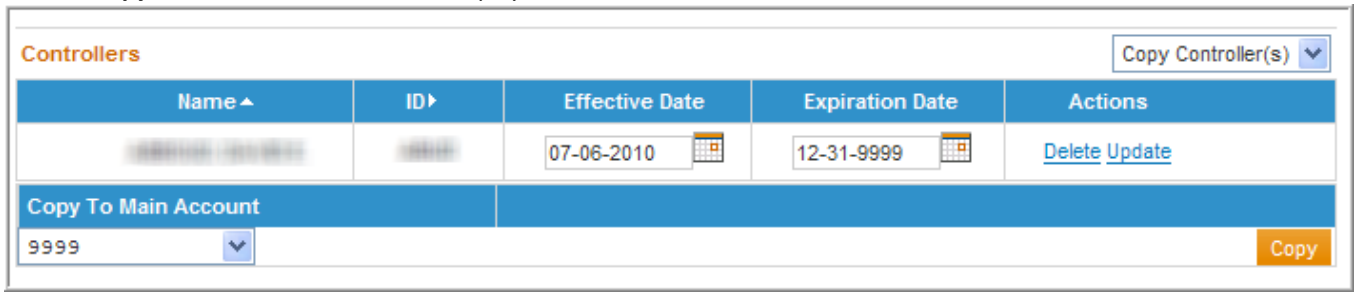
To Copy Controllers:

Only copy individuals can be controllers.

The following rules apply when copying account controllers:

- If the **Account Type equals Firm**, then the controllers will be copied to the designated Main Account.
- If the **Account Type equals Individual**, **Joint** or **Non-Member** and the controller to be copied is not an owner, then the controller will be copied to the designated Main Account.
- If the **Account Type equals Individual**, **Joint** or **Non-Member** and **one of the controllers to be copied is already an owner**, then that specific individual(s) will **not** get copied over to the new designated account. Only controllers where there is no owner relationship will be eligible for copy.

1. From the section labeled Controllers, select **Copy Controller**(s) from the drop-down list above the Actions column. The **Copy To Main Account** field will display.



2. Select the registered Main Account from the drop-down list to copy the Controller(s) to.
3. After selecting an account, click **Copy**. A confirmation message will display.

Account Maintenance – Search

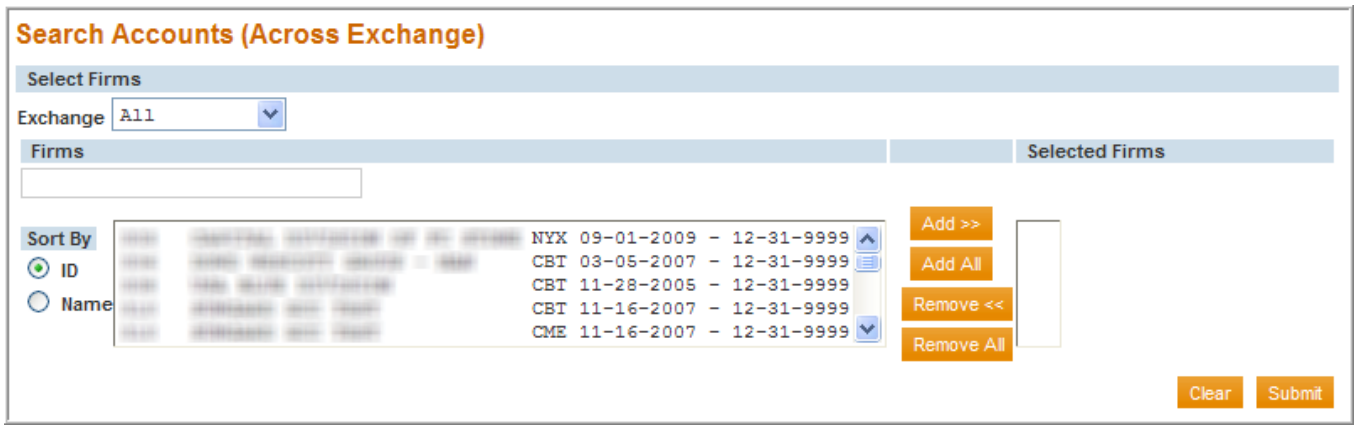
The Account Maintenance – Search screen is a read-only screen that allows the User to view all accounts (regardless of exchange) and the respective details, in one centralized place.

Also on this screen, the User can view the 'Max Last Trade Date' for the Main Accounts viewed, which identifies the most recent Trade Date for which any of the underlying registered Trading Accounts had trading activity.

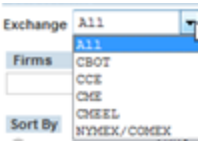
- Searches can be done by:
  - One or More Main Accounts
  - Single Trading Account
  - One or More Account Owners

NOTE: The User cannot refine the search to have a combination of Main, Trade and Account Owner; the OR condition will only allow selection of ONE of the options noted above.

Account Search

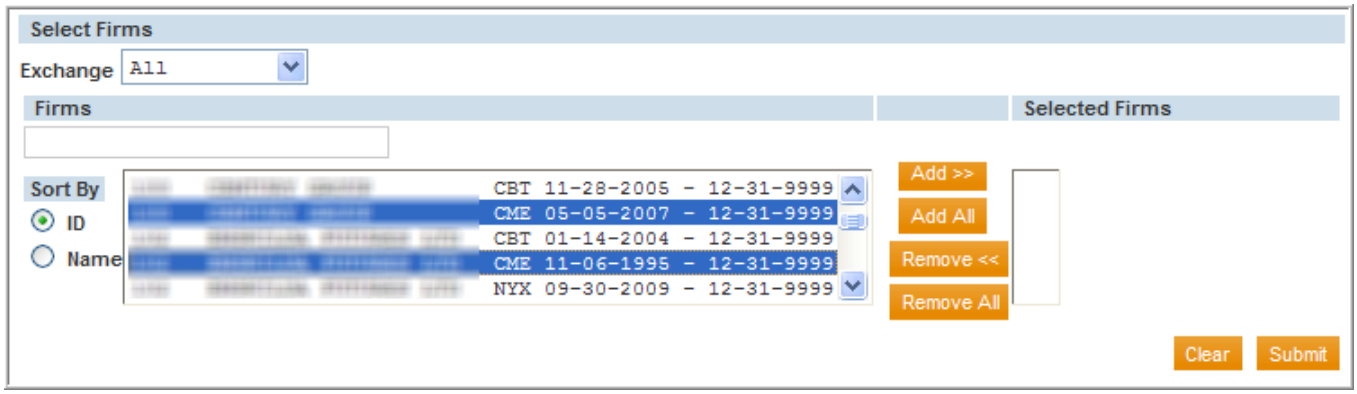


1. Select the **Exchange**(s) to search; this will filter the firm list below to contain only firms associated with the Exchange(s) selected.

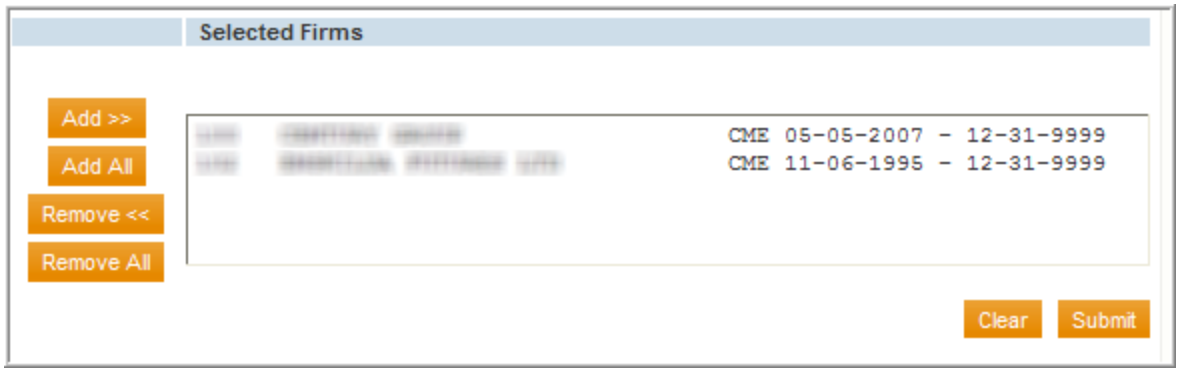


2. From the **Firms** list, select the firm(s) to search. The Firm list will default to ALL firms to which the User has security access. Note: Depending on the Exchange(s) selected in the previous step, a firm that exists at more than one Exchange may appear multiple times in the Firm list. The Exchange designation appears after the firm name, prior to the firm's date range; the User should be sure to consider this when selecting firms from the list.

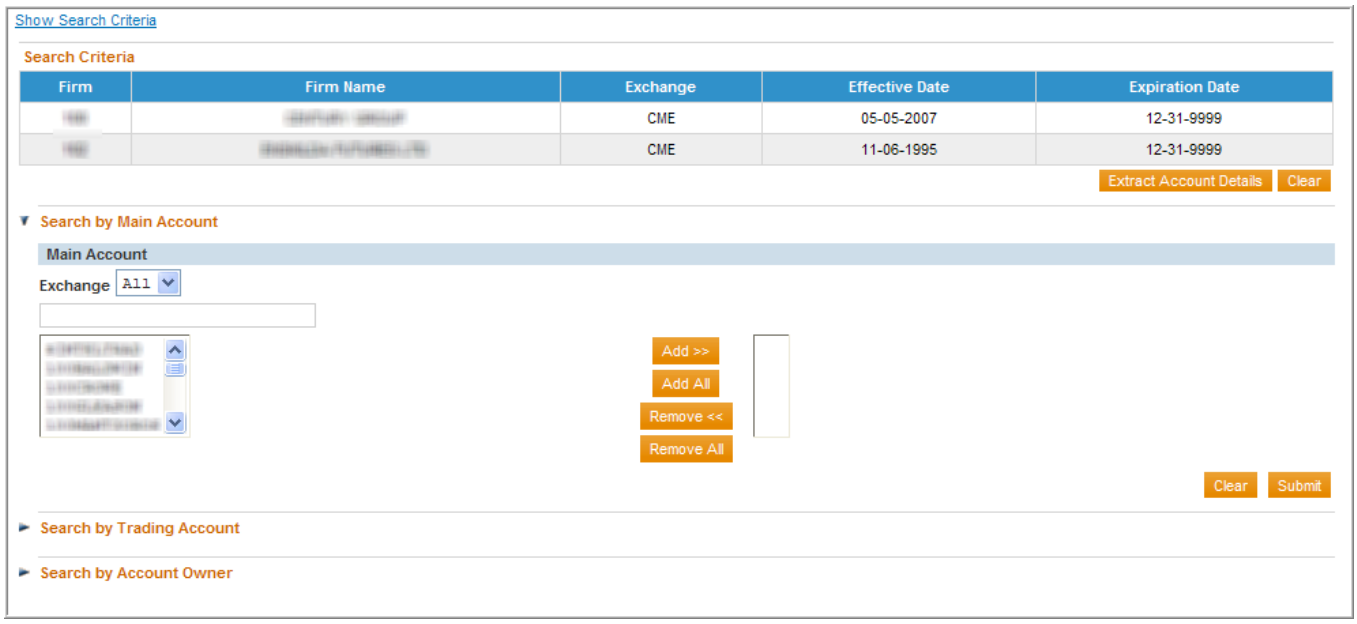
   To select multiple firms, hold the Ctrl key and click on each firm name.



3. After selecting the firm(s), click the **Add** button. The designated firms will be added to the 'Selected Firms' section.



4. Click on the **Submit** button. The search criteria results will display the firm(s) and Exchange(s) selected.



5. If the User would like to obtain an extract of all of the registered account details for the selected firms, click the **Extract Account Details** button below the Search Criteria section.

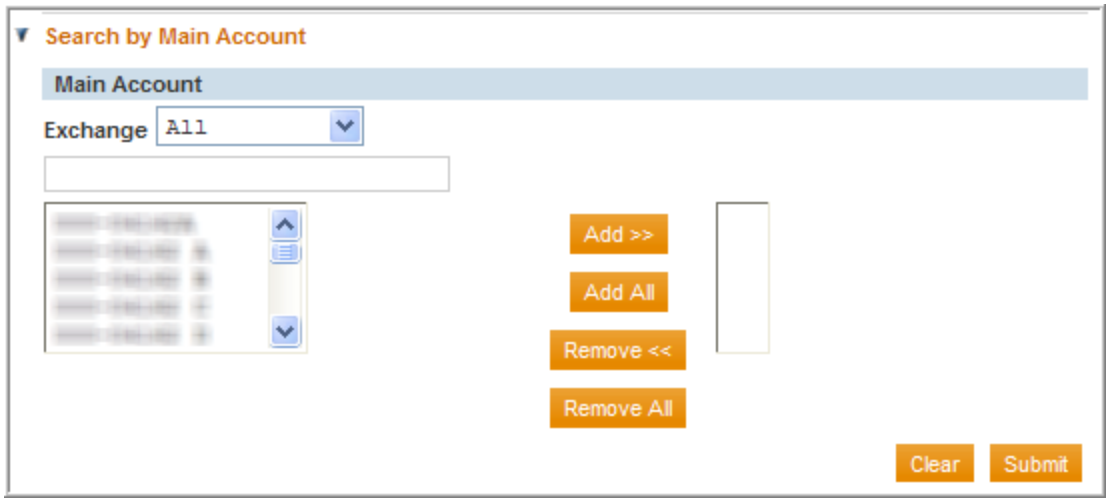
The User can further search within the selected Exchange(s)/Firm(s) by clicking the link for one of the following options:

- Search by **Main Account** (default); or
- Search by Trading Account; or

- Search by Account Owner

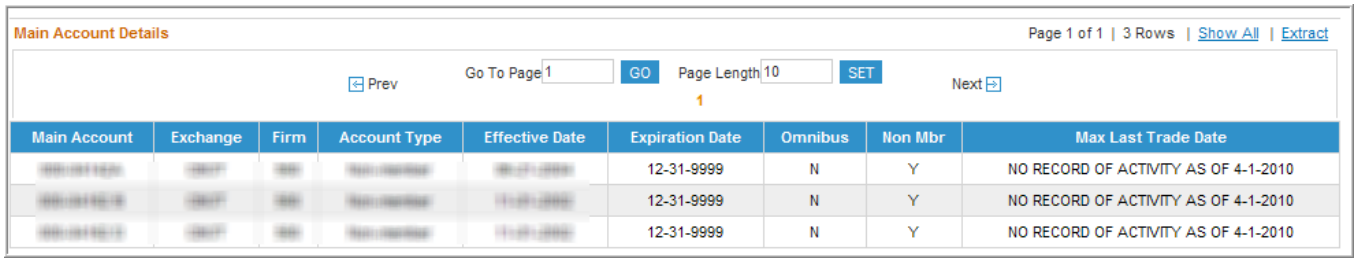
To Search by Main Account:

1. From the Main Account list, select the **Main Account**(s) to view.
2. To select multiple accounts, hold the Ctrl key and click on each account number.



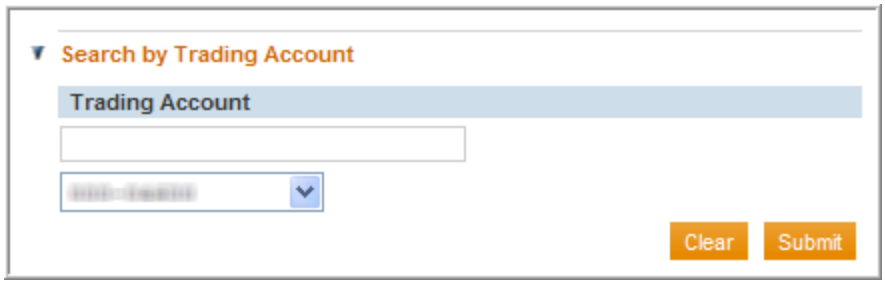
3. After selecting the Main Account(s), click **Submit**. The Main Accounts details will display.

Search by Main Account



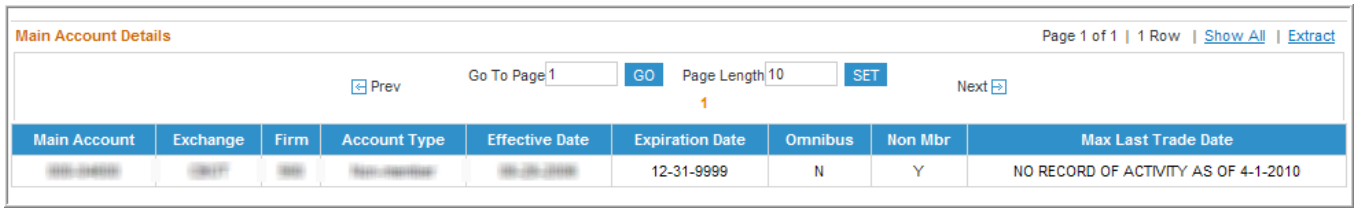
To Search by Trading Account:

1. From the Trading Account list, select the **Trading Account** to view.



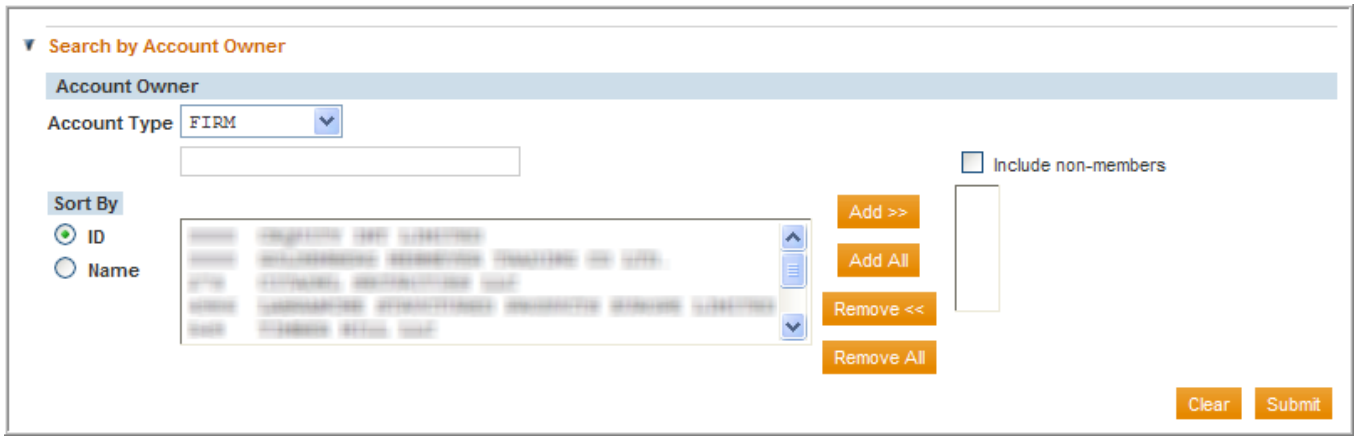
2. After selecting the Trading Account, click **Submit**. The associated Main Accounts details will display for the Main Account under which the Trading Account is registered.

Search by Trading Account



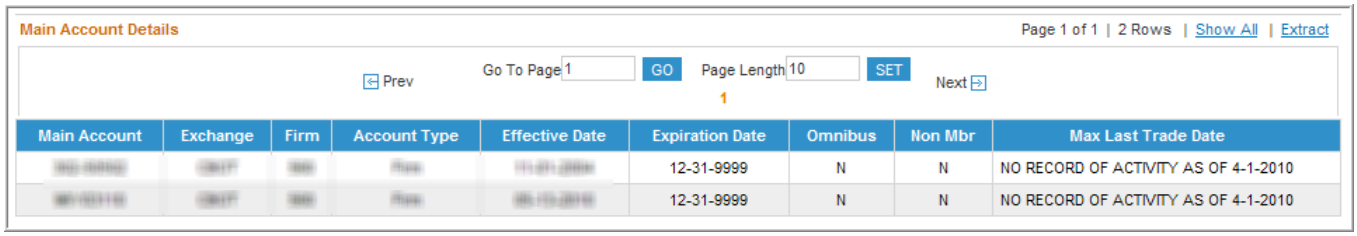
To Search by Account Owner:

1. Select the Account Type: **Firm** (default) or **Individual**.
2. From the **Account Owner** list, select the Account Owner(s) for which to bring back results and then click the **Add** button. To include non-member accounts in the search results, check the 'Include non-members' checkbox.



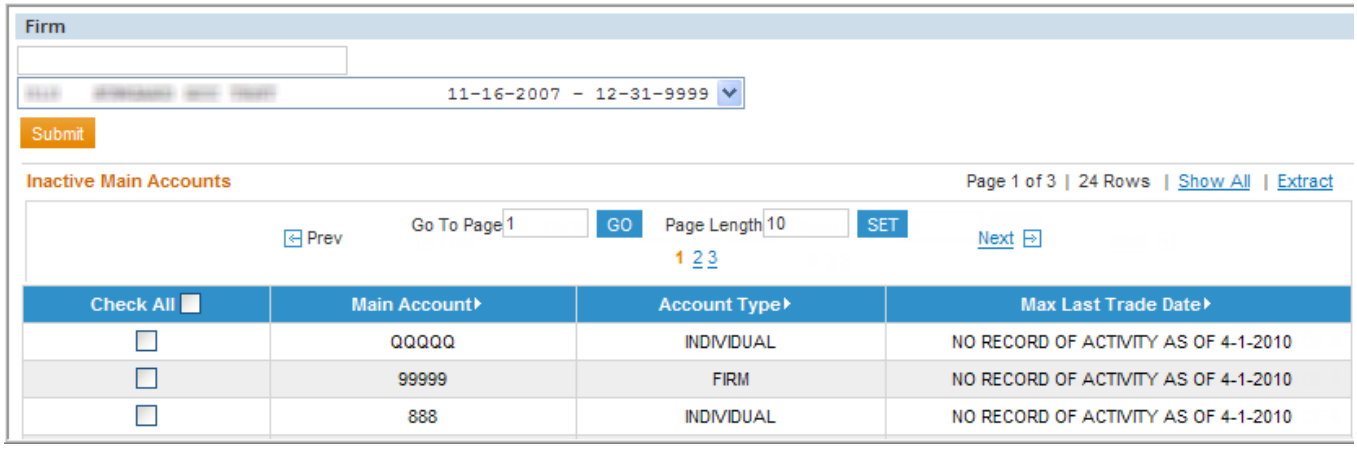
3. After selecting the Account Owner(s), click **Submit**. The Main Accounts details will display for all Main Accounts associated to the selected Account Owner(s).

Search by Account Owners



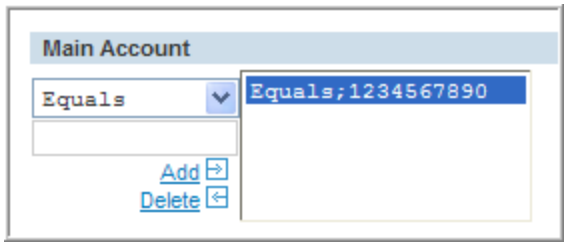
Account Maintenance – Mass Expire

The **Account Maintenance – Mass Expire** screen allows the User to expire multiple accounts at once at the Main Account level. Main Accounts available to be expired will only be those where all of the associated trading accounts have not traded for the past four months or more. A 'Max Last Trade Date' will be displayed on the screen for reference, which identifies the most recent Trade Date for which any of the underlying registered Trading Accounts had trading activity.



1. Within the Mass Expire screen, select a **Firm**.
2. If desired, filter the results by **Main Account**. .

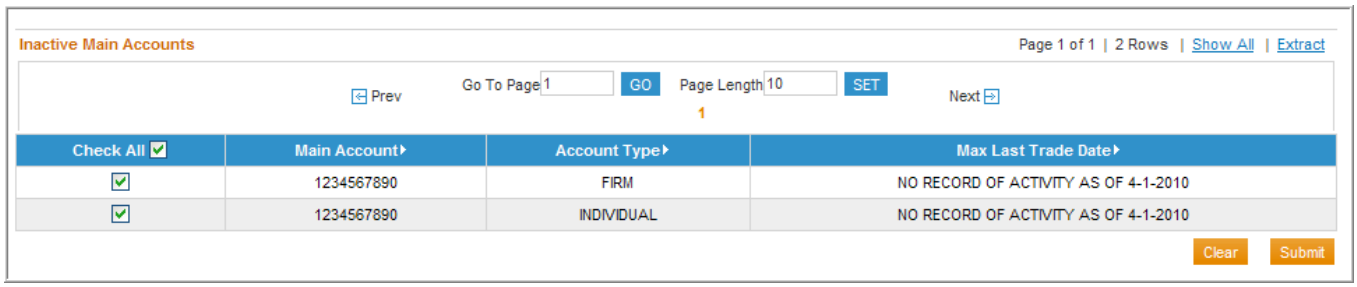
   The User can search for Main Account(s) that 'Begins with', 'Contains', 'Ends with' or 'Equals' a string of characters entered into the textbox.



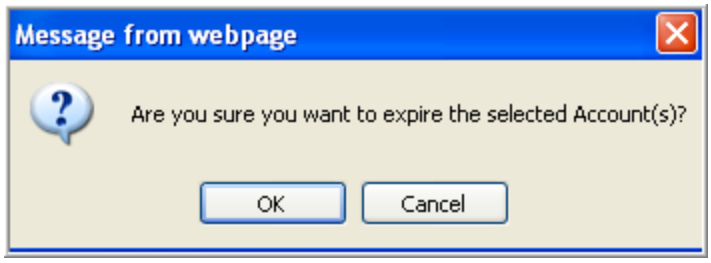
3. Click **Submit**. The Inactive Main Accounts window will display listing all inactive accounts matching the criteria entered.
4. Click the **checkbox** of the Main Account(s) to expire or select **Check All** to expire all of the accounts displayed on the current page.

   NOTE: The Check All feature will only select those accounts displayed on the current page. If there is more than one page of results, the user can first select the Show All link in order to display all of the accounts on a single page.

5. After selecting the account(s) to expire, click the Submit button.

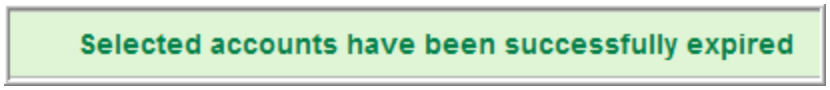


6. To confirm the expire request, click the **OK** button.



NOTE: The accounts will expire as of the prior business date.

A confirmation message will display confirming the selected account(s) have been expired.



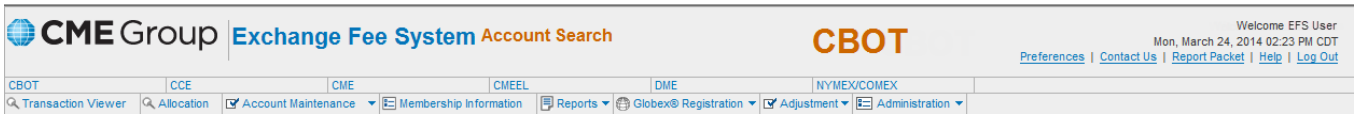
NOTE: The expired accounts will no longer display in the Inactive Main Accounts list. To view expired accounts, navigate to the Account Maintenance – View screen and complete a search using the 'Show Expired' checkbox.

Membership Information

The **Membership Information** screen displays membership information for individual members, member firms and incentive program participants. This information is interpreted from the CME Group membership database. Note this screen is available for CBT, CME, DME and NYMEX/COMEX.

Accessing Membership Information

To access **Membership Information** select the option from the navigation menu.



Recent Membership Updates

For an extract of recent membership updates (within the past 30 days), click on either the **Extract Members** or **Extract Organizations** hyperlink. The Extract Members link will provide an extract of recent updates for Individual Members, while the Extract Organizations link will provide an extract of recent updates for Member Firms and Incentive Program Participants. The extract provides the current and historical status for any individual/firm whose status changed within the last 30 days.

Searching Mode by Exchange

To assist the User in searching for membership information, there are search categories provided, as described below. There is also a secondary filter available to streamline the search process. For example, if the User selects Incentive Programs a secondary filter will be available with the various incentive program categories.

Exchange Membership

Exchange	Search Mode	Secondary Search Filter
CBOT	Firm Details	Not applicable
	Member Details	Not applicable
	Organization Details	Not applicable
	Incentive Programs	Asian Incentive Program (AIP) Central Bank Incentive Program (CBIP) Emerging Markets Bank Incentive Program (EMBIP) International Incentive Program (IIP) International Volume Incentive Program (IVIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) Latin American Proprietary Trading Incentive Program (LAPTIP)
	KCBT Details	Firms/Trusts/Trading Firms Individual/Delegate Members
CME	Firm Details	Not applicable
	Member Details	Not applicable
	Incentive Programs	Asian Incentive Program (AIP) Central Bank Incentive Program (CBIP) CME Electronic Incentive Program (CEIP) CTA Hedge Fund Incentive Program Emerging Market Bank Incentive Program (EMBIP) International Incentive Program (IIP) International Volume Incentive Program (IVIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) Latin American Proprietary Trading Incentive Program (LAPTIP)
	Corporate Memberships	Clearing Firm Qualified Subsidiary Hedge Fund Group **106.H** - Trading Member Firm **106.I** - Qualified Affiliate **106.I** - Member Firm **106.J** - Equity Member Firm **106.J** - Qualified Subsidiary **106.N** - CME GEM

Exchange Membership

Exchange	Search Mode	Secondary Search Filter
		106.R ECM - Holding Member **106.S** - Family of Funds Member Firm
CMEEL	Firm Details	Clearing Member Incentive Participant Non-Clearing Member
DME	Firm Details	Not applicable
NYMEX/COMEX	Firm Details	Not applicable
	Member Details	Not applicable
	Organization Details	Not applicable
	Incentive Programs	Asian Incentive Program (AIP) Central Bank Incentive Program (CBIP) Emerging Market Bank Incentive Program (EMBIP) International Incentive Program (IIP) International Cross-Asset Volume Incentive Program (IVIP) Latin American Commercial Incentive Program (LACIP) Latin American Fund Manager Incentive Program (FMIP) Latin American Proprietary Trading Incentive Program (LAPTIP)
	CME Market Maker	Not applicable

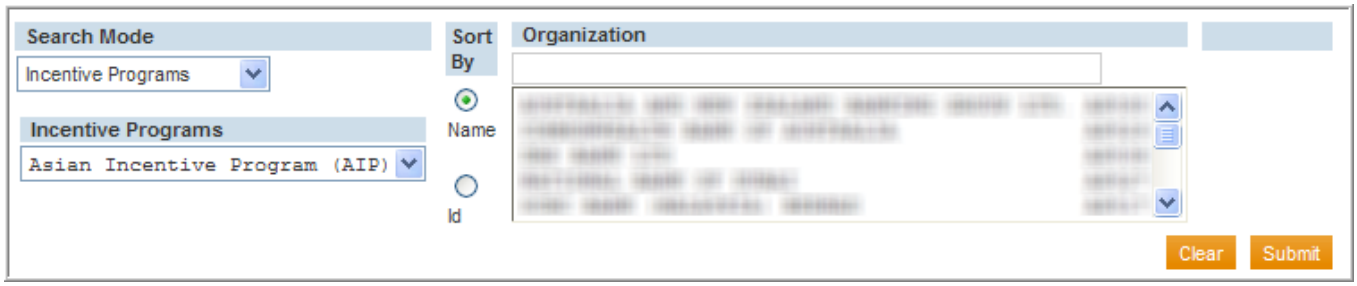
Searching for Membership Information

To search for Membership Information:

1. Select a **Search Mode** from drop-down menu.
2. To filter the search further, select the secondary option from the drop-down menu, where applicable.
3. Once the filters have been selected, the User may then scroll through the resulting list, or type in the first few characters of the name to use the auto-complete function to navigate the list.
4. Click the appropriate selection in the list and then click the **Submit** button to retrieve the details.

Search Mode without Secondary Option

Search Mode with Secondary Option

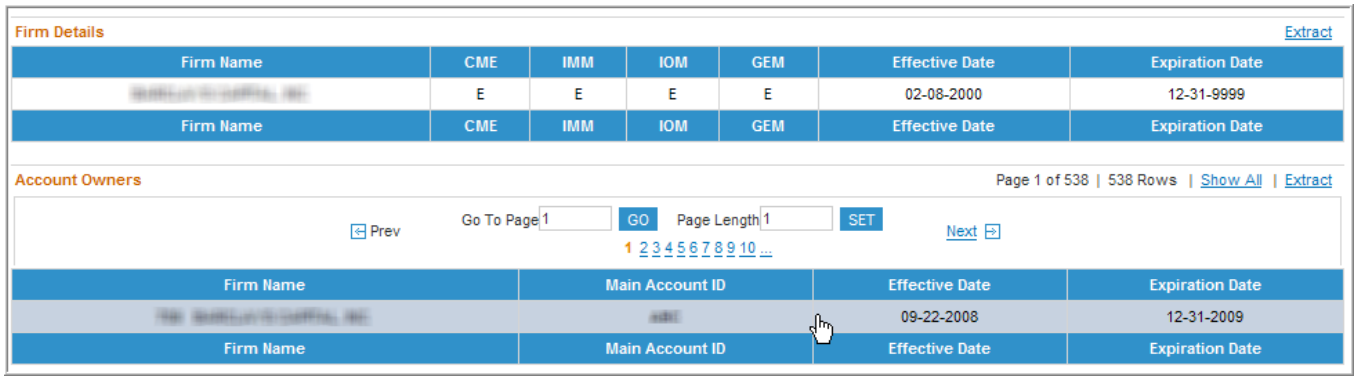


Search Results

The search results will be displayed below the Membership Information Search form with the following information:

- The membership status in each of the membership divisions;
- The effective and expiration dates associated with each change in membership status;
- The Account Owners section, reflecting all main accounts for which the selected entity or individual is registered as the account owner, with the associated effective and expiration dates; and
- For individuals only, the Account Controllers section, reflecting all main accounts for which the selected individual is registered as the account controller, with the associated effective and expiration dates.

There is also a redirect function that allows the User to select a specific Main Account within the search results and be redirected to the account maintenance screen, where the respective account details will automatically be displayed. Click on the **line item** to be redirected.

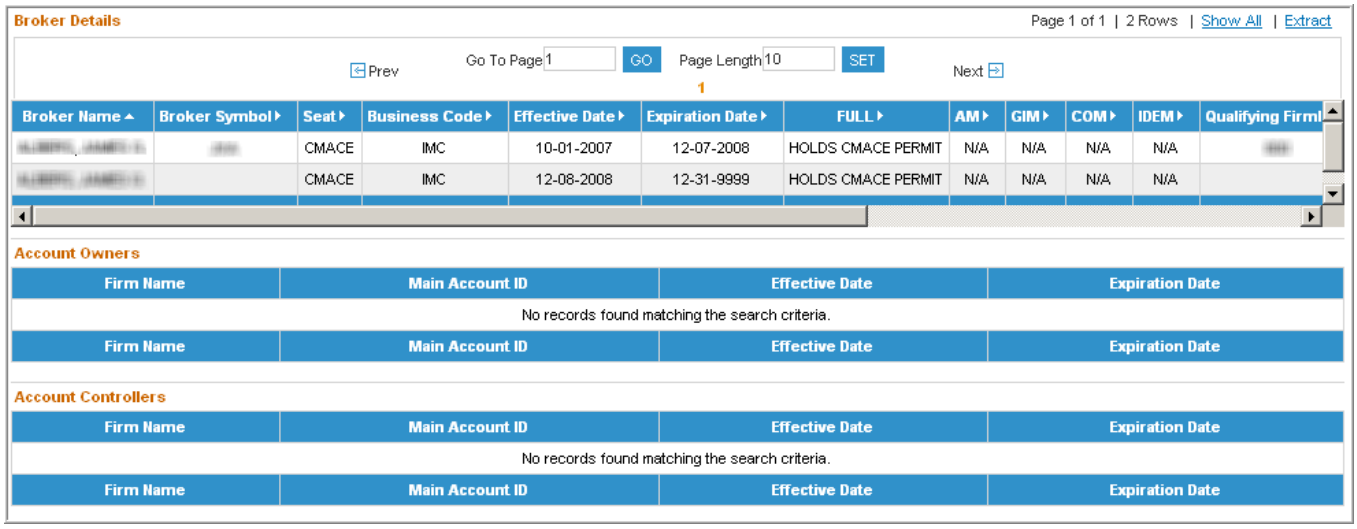


Following are examples of the search results for the various search modes:

Search Mode: Firm Details - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Status (details vary by Exchange), Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Exchange: CBOT



Broker Details

Page 1 of 1 | 2 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Broker Name	Broker Symbol	Seat	Business Code	Effective Date	Expiration Date	FULL	AM	GIM	COM	IDEM	Qualifying Firml
[redacted]	[redacted]	CMACE	IMC	10-01-2007	12-07-2008	HOLDS CMACE PERMIT	N/A	N/A	N/A	N/A	[redacted]
[redacted]		CMACE	IMC	12-08-2008	12-31-9999	HOLDS CMACE PERMIT	N/A	N/A	N/A	N/A	

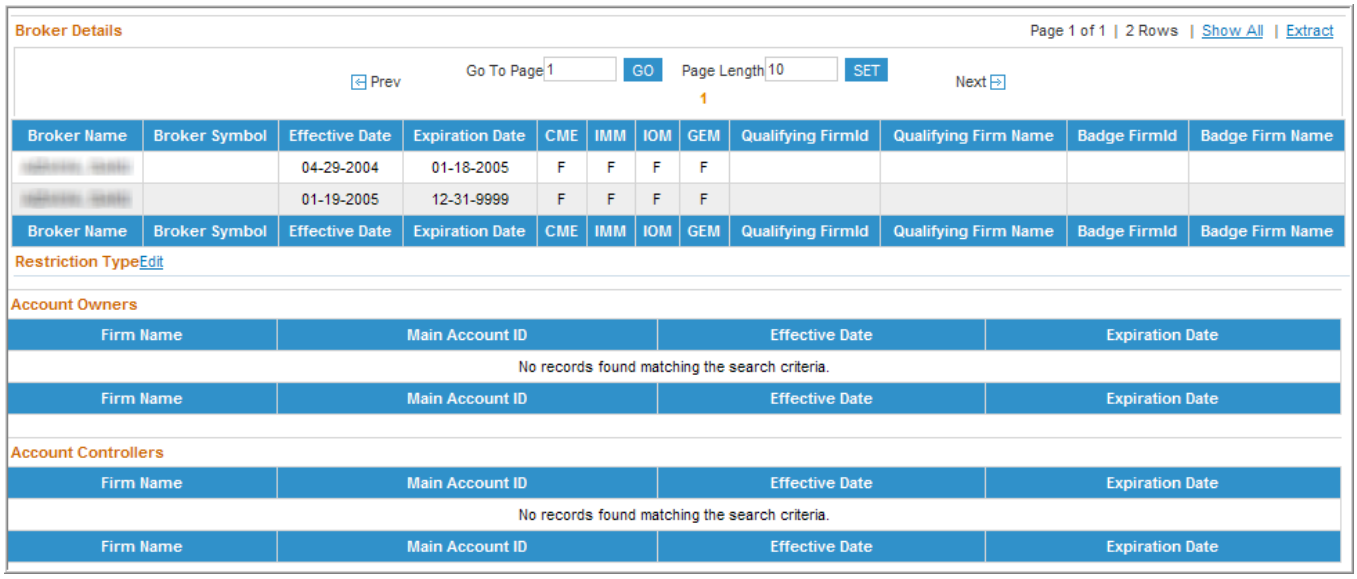
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: CME



Broker Details

Page 1 of 1 | 2 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Broker Name	Broker Symbol	Effective Date	Expiration Date	CME	IMM	IOM	GEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name
[redacted]		04-29-2004	01-18-2005	F	F	F	F				
[redacted]		01-19-2005	12-31-9999	F	F	F	F				
Broker Name	Broker Symbol	Effective Date	Expiration Date	CME	IMM	IOM	GEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name

Restriction Type Edit

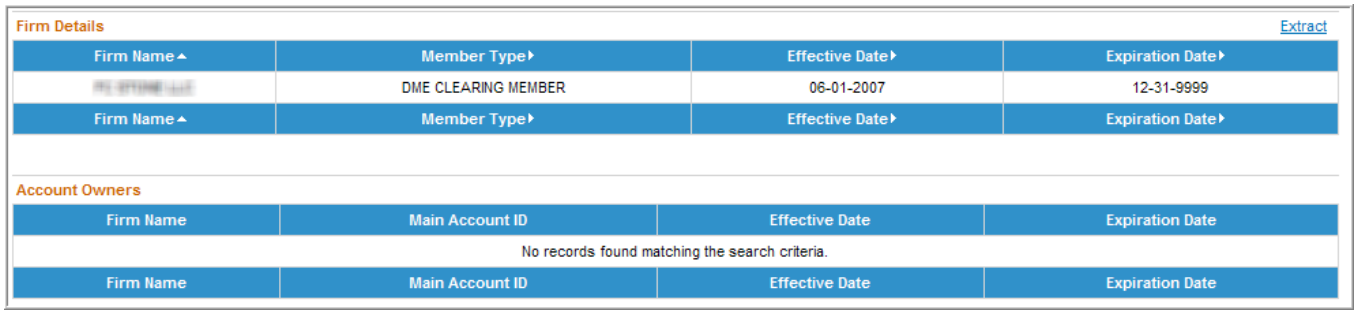
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

Exchange: DME



Firm Details

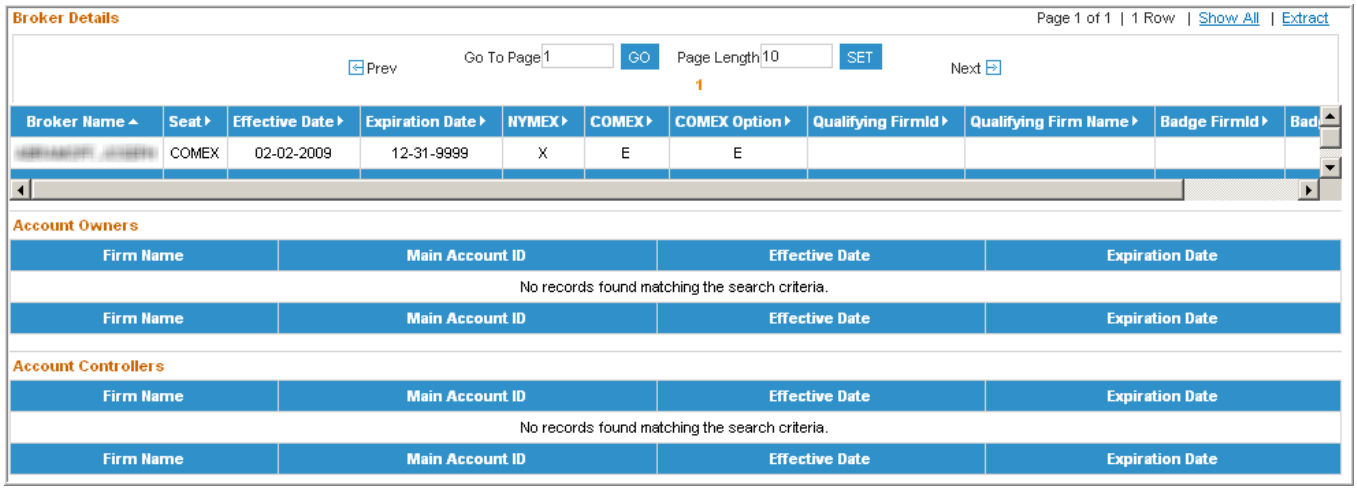
Extract

Firm Name	Member Type	Effective Date	Expiration Date
[redacted]	DME CLEARING MEMBER	06-01-2007	12-31-9999
Firm Name	Member Type	Effective Date	Expiration Date

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			
Firm Name	Main Account ID	Effective Date	Expiration Date

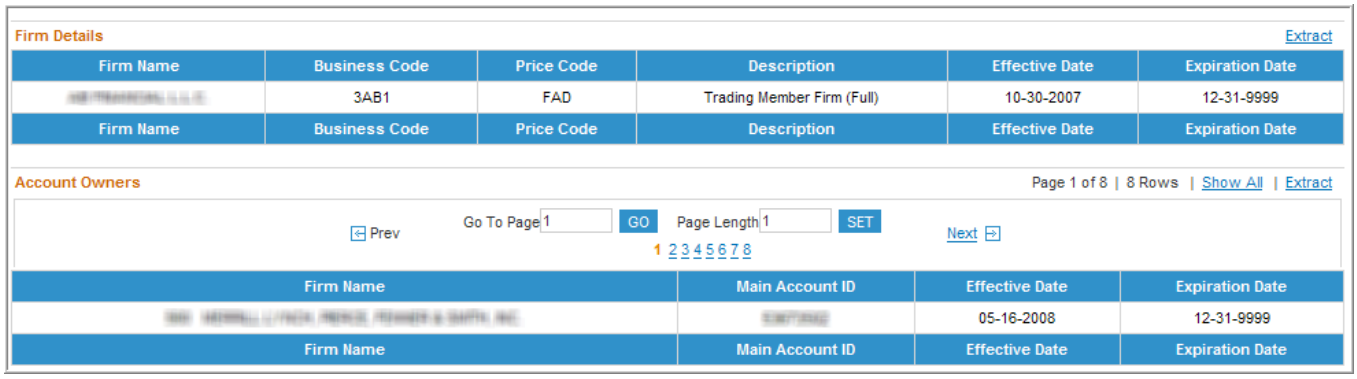
Exchange: NYMEX/COMEX


Broker Details
Page 1 of 1 | 1 Row | Show All | Extract
Prev
Go To Page 1 GO
Page Length 10 SET
Next
1
Broker Name | Seat | Effective Date | Expiration Date | NYMEX | COMEX | COMEX Option | Qualifying FirmId | Qualifying Firm Name | Badge FirmId | Bad
COMEX 02-02-2009 12-31-9999 X E E
Account Owners
Firm Name | Main Account ID | Effective Date | Expiration Date
No records found matching the search criteria.
Account Controllers
Firm Name | Main Account ID | Effective Date | Expiration Date
No records found matching the search criteria.

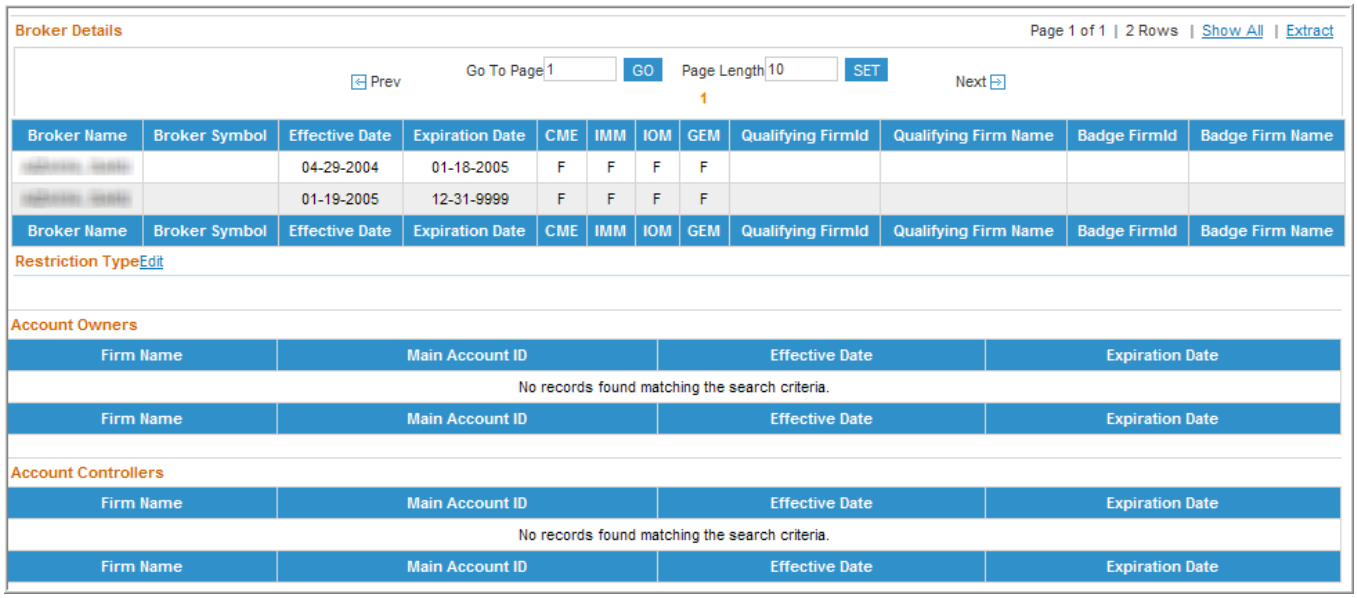
Search Mode: Member Details - the search results will return the following information:

- **Broker Details**: Broker Name, Broker Symbol, Effective and Expiration Dates, Membership Details (details vary by Exchange), Qualifying Firm ID and Name, Badge Firm ID and Name.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.
- **Account Controllers**: Firm Name, Main Account ID, Effective and Expiration Dates.

Exchange: CBOT


Firm Details
Extract
Firm Name | Business Code | Price Code | Description | Effective Date | Expiration Date
3AB1 FAD Trading Member Firm (Full) 10-30-2007 12-31-9999
Account Owners
Page 1 of 8 | 8 Rows | Show All | Extract
Prev
Go To Page 1 GO
Page Length 1 SET
Next
1 2 3 4 5 6 7 8
Firm Name | Main Account ID | Effective Date | Expiration Date
05-16-2008 12-31-9999

Exchange: CME



Broker Details — Page 1 of 1 | 2 Rows | Show All | Extract

Prev | Go To Page 1 GO | Page Length 10 SET | Next

1

Broker Name	Broker Symbol	Effective Date	Expiration Date	CME	IMM	IOM	GEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name
[redacted]		04-29-2004	01-18-2005	F	F	F	F				
[redacted]		01-19-2005	12-31-9999	F	F	F	F				

Restriction Type Edit

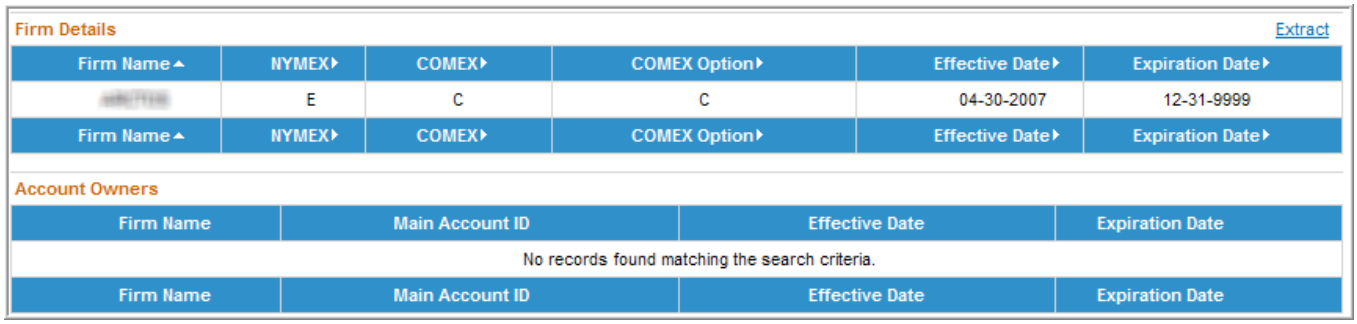
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Account Controllers

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Exchange: NYMEX/COMEX



Firm Details — Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[redacted]	E	C	C	04-30-2007	12-31-9999

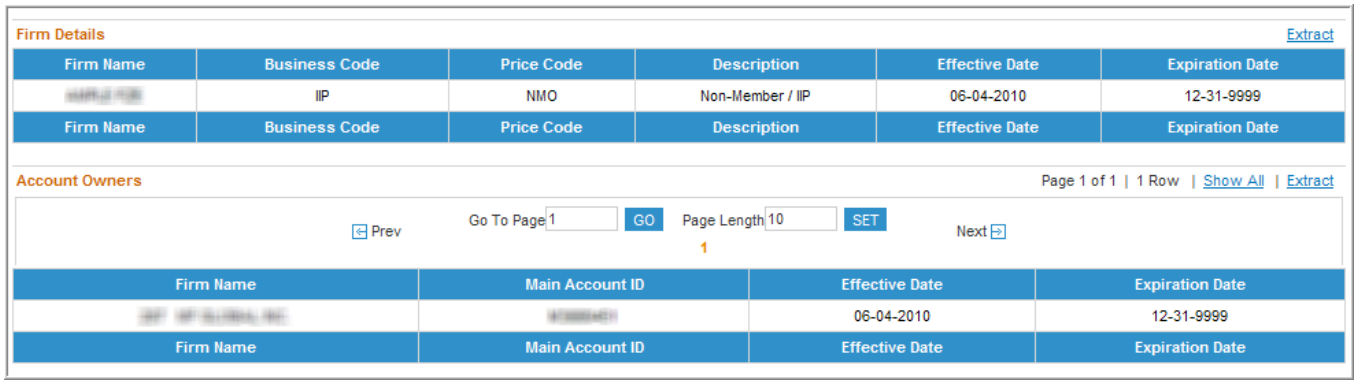
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Search Mode: Incentive Programs - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details (details vary by Exchange), Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Exchange: CBOT Incentive Program: International Incentive Program (IIP)



Firm Details — Extract

Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date
[redacted]	IIP	NMO	Non-Member / IIP	06-04-2010	12-31-9999

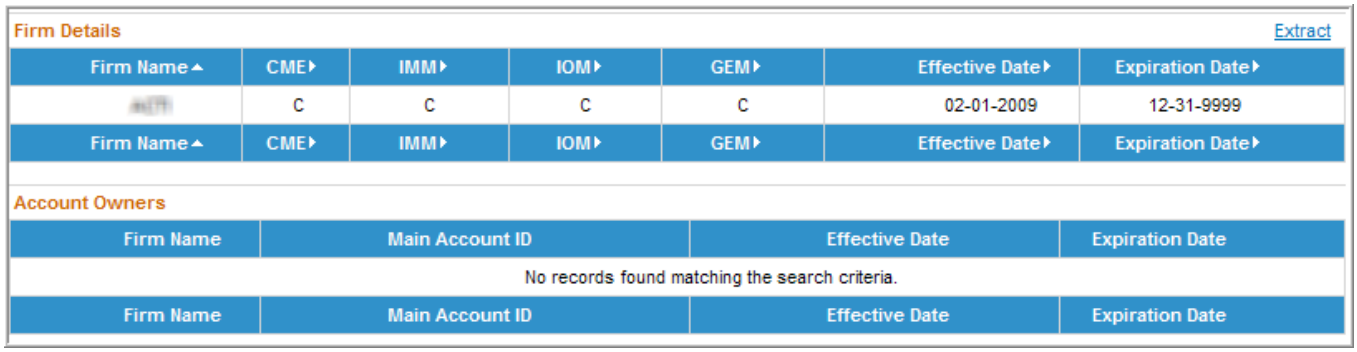
Account Owners — Page 1 of 1 | 1 Row | Show All | Extract

Prev | Go To Page 1 GO | Page Length 10 SET | Next

1

Firm Name	Main Account ID	Effective Date	Expiration Date
[redacted]	[redacted]	06-04-2010	12-31-9999

Exchange: CME Incentive Program: International Incentive Program (IIP)



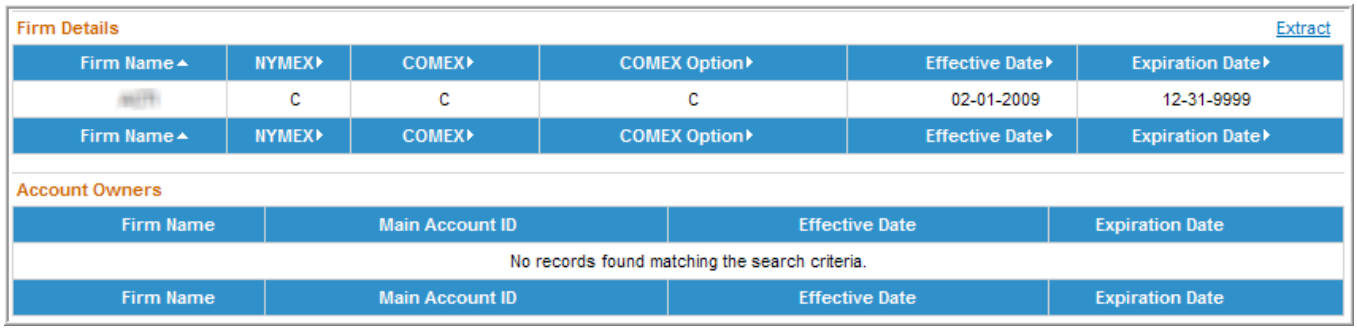
Firm Details — Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
[redacted]	C	C	C	C	02-01-2009	12-31-9999

Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Exchange: NYMEX/COMEX Incentive Program: International Incentive Program (IIP)



Firm Details — Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[redacted]	C	C	C	02-01-2009	12-31-9999

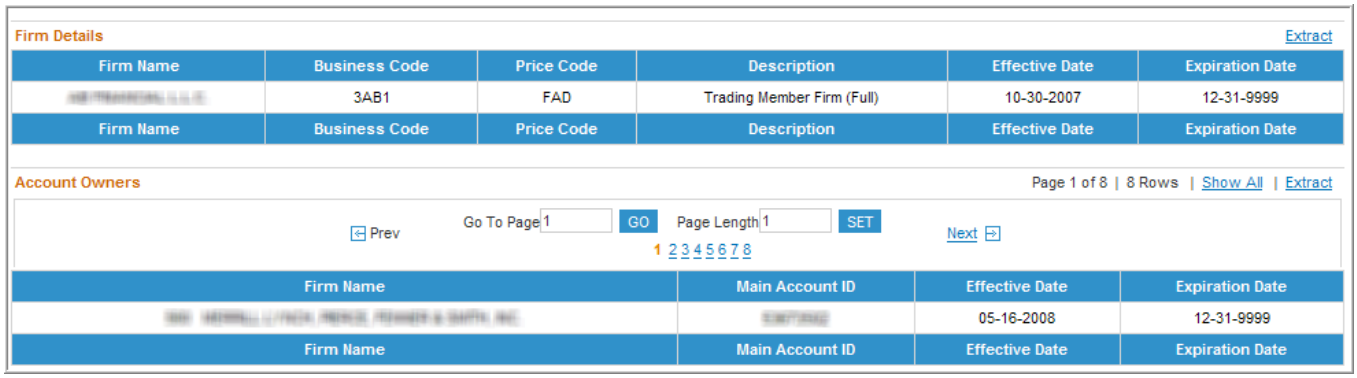
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Search mode: Organization Details - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details, Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Exchange: CBOT



Firm Details — Extract

Firm Name	Business Code	Price Code	Description	Effective Date	Expiration Date
[redacted]	3AB1	FAD	Trading Member Firm (Full)	10-30-2007	12-31-9999

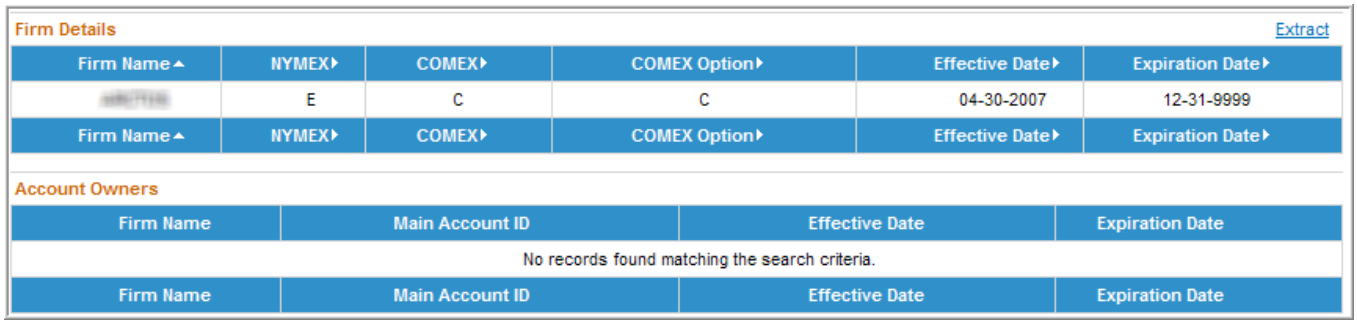
Account Owners — Page 1 of 8 | 8 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 1 SET Next

1 2 3 4 5 6 7 8

Firm Name	Main Account ID	Effective Date	Expiration Date
[redacted]	[redacted]	05-16-2008	12-31-9999

Exchange: NYMEX/COMEX



Firm Details — Extract

Firm Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
[redacted]	E	C	C	04-30-2007	12-31-9999

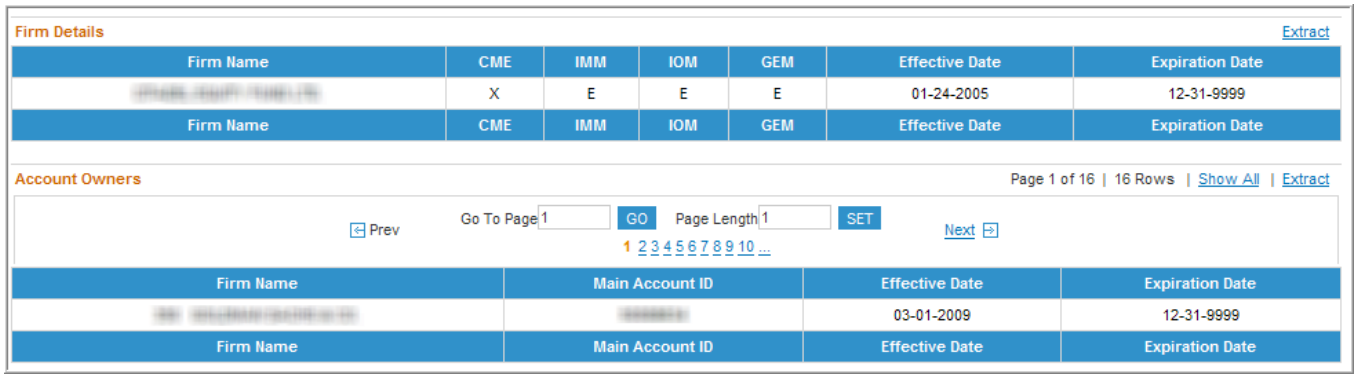
Account Owners

Firm Name	Main Account ID	Effective Date	Expiration Date
No records found matching the search criteria.			

Search mode: Corporate Membership - the search results will return the following information:

- **Firm Details**: Firm Name, Membership Details, Effective and Expiration Dates.
- **Account Owners**: Firm Name, Main Account ID, Effective and Expiration Dates.

Exchange: CME Corporate Membership: 106.N.



Firm Details — Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
[redacted]	X	E	E	E	01-24-2005	12-31-9999
Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date

Account Owners — Page 1 of 16 | 16 Rows | Show All | Extract

Prev Go To Page 1 GO Page Length 1 SET Next

1 2 3 4 5 6 7 8 9 10 ...

Firm Name	Main Account ID	Effective Date	Expiration Date
[redacted]	[redacted]	03-01-2009	12-31-9999
Firm Name	Main Account ID	Effective Date	Expiration Date

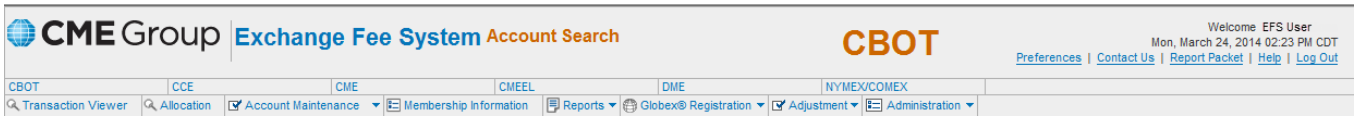
Reports

Reports offer both basic and advanced search options to generate, customize, and retrieve reports displaying fees and fee discount programs. Other reports are also available to assist in determining how fees were applied and to whom the fees will be billed.

Data available for the reports is the current month to date, plus the three prior months. All reports are viewable in PDF format and may also be extracted into any machine readable format. The exception to this is the Condensed Trade Detail Extract, which is available for extraction only.

Accessing Reports

To access **Reports** select the option from the navigation menu.



Report Request

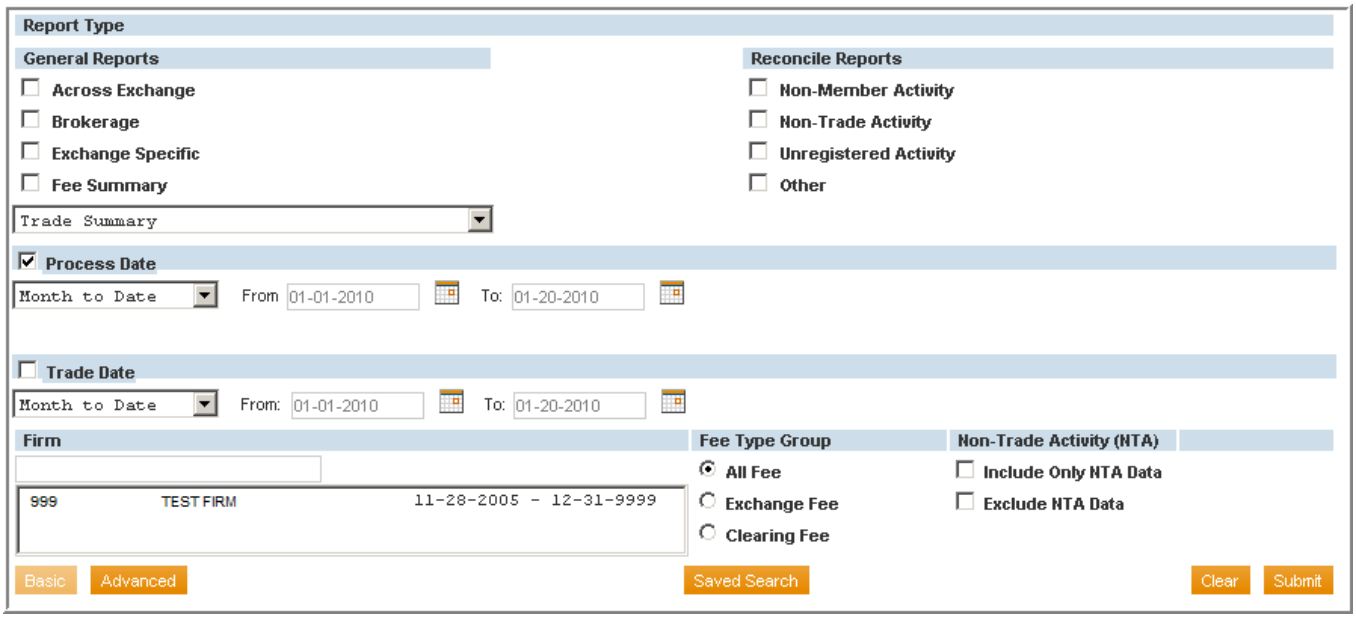
When Reports is selected, two sub-menu options appear.

- **Request** – Select this option to request a report.
- **Viewing** – Select this option to view, extract, or delete a report.

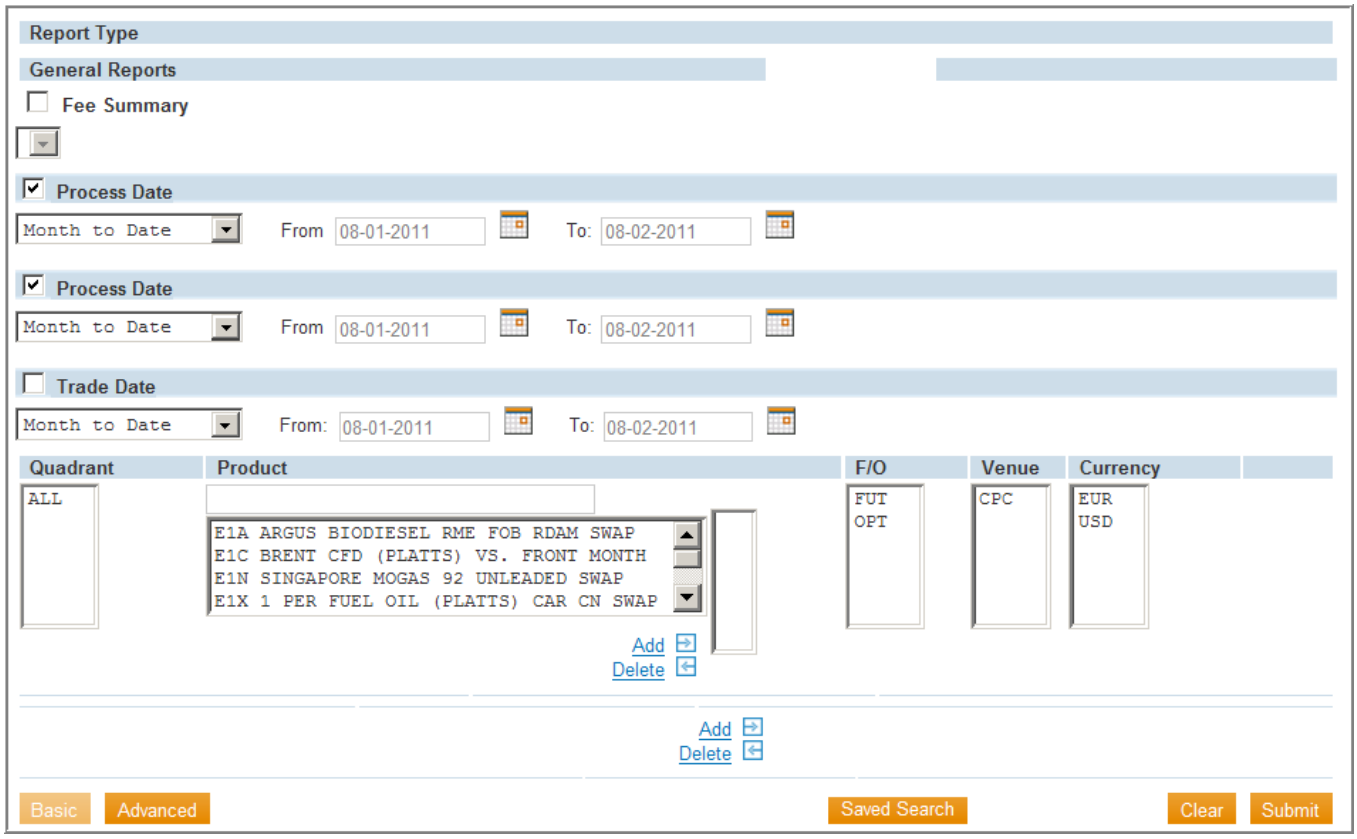
To request a report, select the **Request** option from the Reports sub-menu. When this option is chosen, the Report Request page appears. Basic or Advanced Search options are available.

To request a **Report**, click on the report name within the report drop-down list, or select the checkbox next the appropriate Report Type filter. When a Report Type filter is selected, the report drop-down list will immediately update to reflect only the reports within that Report Type.

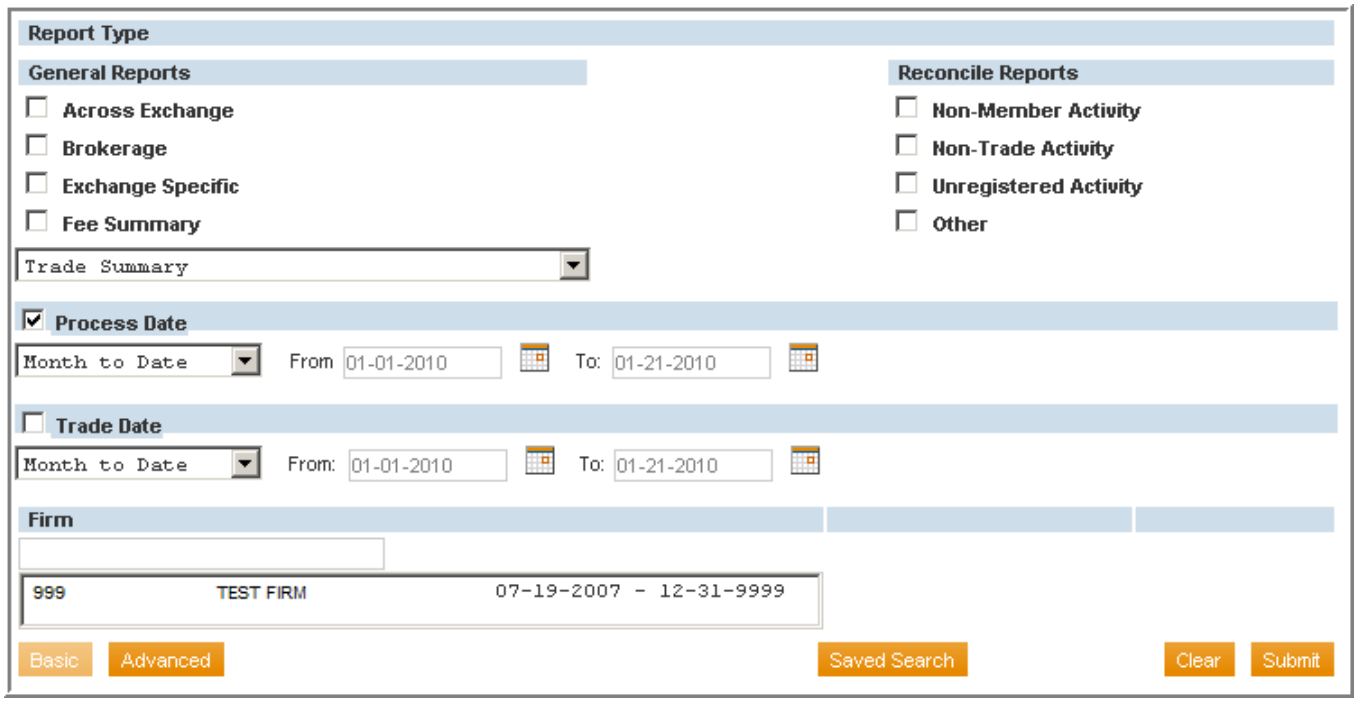
Report Request: CBOT



Report Request: CCE



Report Request: CME, DME, NYMEX/COMEX

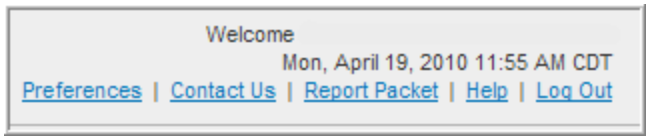


Report Packet

The Report Packet provides an 'overview' of the report suite available to assist in reconciling, for each product exchange:

- the various fees charged,
- the registration of accounts and operator IDs,
- the validation of membership status for firms, entities, individuals or special programs participants, and
- the discounts associated with various fee incentive programs.

To access the report packet, click the Report Packet hyperlink in the top right corner of the screen. The report packet provides detailed descriptions of all the reports available, as well as key items to note when using the various reports.



Report Types

There are several pre-defined reports to choose from the Report drop-down list. To limit the Report list, the User may select the Report Type that contains the type of report the User wants to execute. The main Report Type categories are as follows:

- General Reports
- Reconcile Reports

The main **Report Types** are then broken down to further assist the User in identifying the best report to utilize when reviewing the fees charged. Following are descriptions of the Report Types:

Report	Type	DESCRIPTION
General Reports	Across Exchange	This report type will include activity for qualified participants where discounts are applied based upon volume accumulation or fees charged across the product exchanges (e.g. CME, CBOT, NYMEX/COMEX) or where the discount program is identical across the exchanges. **NOTE**: This report will only return/display data for the specific product exchange that the end user has selected.
	Brokerage	This report type contains fees that are charged directly to the broker. This is the only area where this activity can be isolated in the fee system. Currently, this fee is only applicable to CME and CBOT product exchanges.
	Exchange Specific	This report type isolates activity to address fee discount programs unique to an individual product exchange (e.g. CME Interest Rate Volume Discount, CBOT U.S. Treasury Volume Discount, NYMEX Day Trades, etc).
	Fee Summary	Fee Summary reports provide various high-level overviews of fees applied by account, commodity and/or transaction type, specifically to facilitate reconciliation to the Clearing Member Firm's billing statement.
Reconcile Reports	Non-Member Activity	This report type isolates trade activity (e.g. PIT, Electronic, ClearPort) where the non-member rate was applied.
	Non-Trade Activity	This report is tailored to review and manage non-trade activity (e.g. cash settlements, exercise, assignment, delivery, future from exercise/assignment, expired option) that could be eligible for reduced rates based on the rules prescribed for each product exchange.
	Unregistered Activity	This report type focuses on activity that is not registered or recognized in the fee system that could ultimately trigger non-member rates to be applied. The main areas of registration anomalies are: Accounts and Operator IDs.

Report	Type	DESCRIPTION
	Other	This report type will assist in validating what has been registered within the fee system and provide assistance monitoring adjustments (prior period or manual requests).

Report Basic Search Criteria

The basic report search requires the User to select a date selection by either **Process Date** or **Trade Date** by checking the box in front of one or both of the date selections. The User must also select the corresponding **Firm**, prior to submitting a report.

FIELD NAME	DESCRIPTION
Process Date	Process Date The date that the trade was processed in EFS. Refer to section below for the Date Selection choices.
Trade Date	Trade Date The date that the trade was executed. Refer to section below for the Date Selection choices.
Firm	Represents the filling firm (executing firm) of the transaction.
Fee Type Group (CBOT Option Only)	This is an optional field that allows a user to include All Fees, Exchange Fees or Clearing Fees.
NTA Non-Trade Activity (CBOT Option Only)	This is an optional field that allows a User to include or exclude Non-Trade activity from Exchange Fee reports. To include or exclude this data, simply select the checkbox under the NTA column.

Basic Search Criterion Date Selection

DATE SELECTION	DESCRIPTION
Month to Date	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day. **NOTE**: Dates cannot be changed while in the Month-To-Date mode.
Equals	Equals specifies only one day. The system default displays the prior trading day.
Between	Between specifies the beginning and end dates for a date range. NOTE: With a “Between” search criteria, it is only possible to view a maximum of one calendar month at a time.
Last Month	Last Month defaults the beginning and end dates to the first and last days of the previous month.
Two Months Ago	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
Three Months Ago	Three Months Ago defaults the beginning and end dates to three months prior to the current month.

When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and typing in the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field.

Click the calendar icon to have the calendar window appear.

Report Advanced Search Criteria

There are dynamic advanced search features available, depending on the report selected. Not all reports will have the advanced search criterion. When advanced options are available for the selected report, the User will be able to select the **Advanced** button at the bottom left of the screen. For Advance Criteria field descriptions, refer to the Transaction Viewer and Transaction Viewer Advanced Search Field Definitions.

The basic search selections will remain at the top of the page and must be completed as noted above; the advanced search fields will appear below the basic search fields. While the advanced search criterion available to select will vary per report; the operand selections are consistent as follows:

Advanced Search Criterion Operands

OPERATOR NAME	DESCRIPTION
Any	Allows the User to search for all items and is the **default selection**.
Begins With	With Allows the User to enter the first few numbers and/or letters of the desired search item(s).
Contains	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
Ends	With Allows the User to enter the last few number and/or letters of the desired search item(s).
Equals	Allows the User to enter the exact search item. “Equals” may also be used to enter multiple accounts so that it works as an “is in” option.

To Add a Search Item

1. For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
2. Click the **Add** hyperlink to add that item to the search list.

NOTE: The Add hyperlink must be selected in order for entered text to be captured.

To Delete a Search Item

1. Find the item to be deleted in the search list.
2. Click to highlight the item.
3. Click the **Delete** hyperlink to remove that item from the search list.

Submit a Report

Once the search criterion has been defined, select the **Submit** button to generate the report.

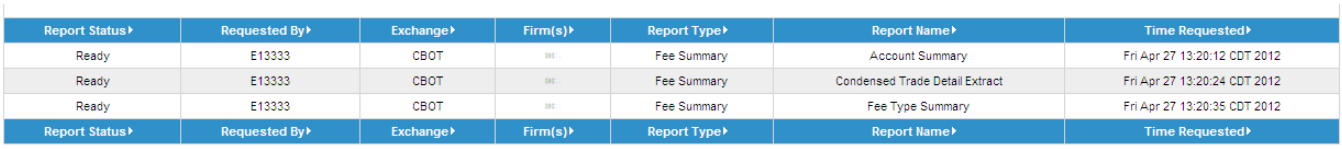
A confirmation message will be displayed stating that the report has been submitted.

Report Viewing

To access a report submitted, select **Viewing** from the Reports sub-menu. The Report Viewer window will appear displaying all the reports that have been submitted during the current day. The Report Viewer screen lets the User execute the following action items:

- View Report
- View Report Criteria
- Extract Report
- Delete Report

Report Viewing: Report Viewer Screen



Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested
Ready	E13333	CBOT		Fee Summary	Account Summary	Fri Apr 27 13:20:12 CDT 2012
Ready	E13333	CBOT		Fee Summary	Condensed Trade Detail Extract	Fri Apr 27 13:20:24 CDT 2012
Ready	E13333	CBOT		Fee Summary	Fee Type Summary	Fri Apr 27 13:20:35 CDT 2012
Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested

Report Viewer Column Descriptions

The columns can be sorted in ascending or descending order by clicking the sorting arrow to the right of the column header. Data can only be sorted by one column at a time.

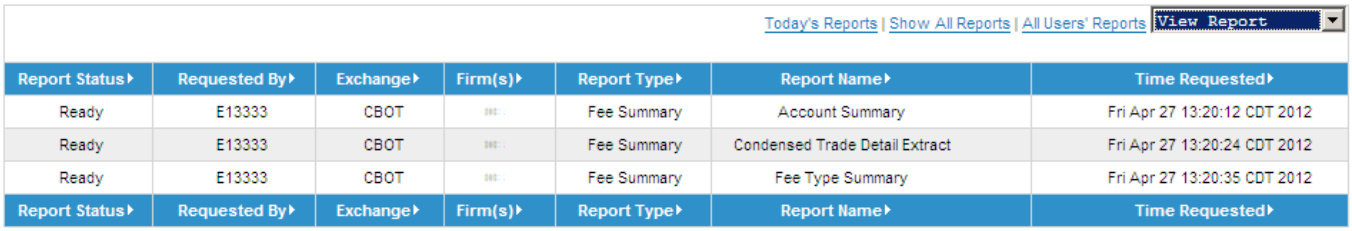
COLUMN NAME	DESCRIPTION
Report Status	Displays the status of the reports submitted: • **Requested** – Report has been submitted for processing. • **Running** – Report is currently being processed by the Report Server. • **Ready** – Report has completed processing and is ready to be viewed. • **No Data** – There was no data matching the submitted criteria. • **Reviewed** – Report has been viewed, printed and/or extracted.
Requested By	Displays the User ID of the individual who requested the report.
Report Pos (If applicable)	This will display the order in which the report was submitted in the queue, if there are several reports pending.
Exchange	Displays the Exchange for which the report was submitted.
Firm(s)	Displays the Firm(s) for which the report was submitted.
Report Type	Displays the Report Type for the report submitted.
Report Name	Displays the Report name.
Time Requested	Displays the date and time the report is requested.

View Report

To view a report in the Report Viewer:

1. Select **View Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to be viewed. Note: a report will not be viewable unless the Report Status is “Ready or “Reviewed”.

Report Viewer: Report Action Items



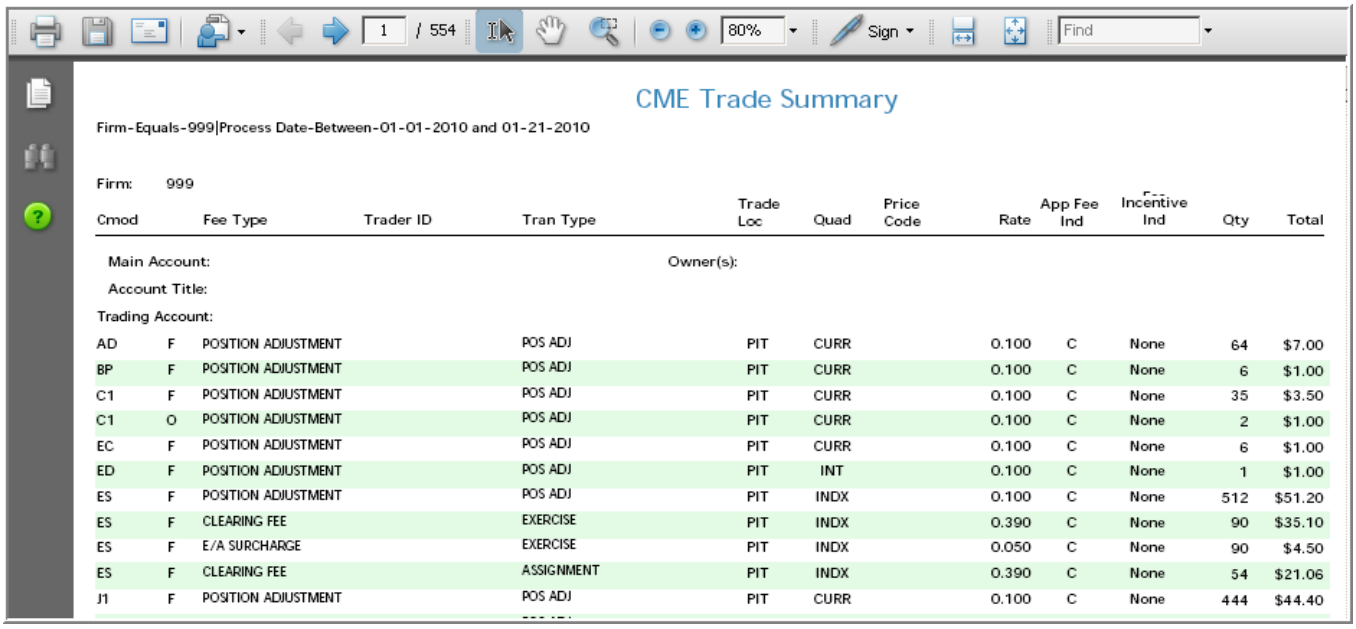
Today's Reports | Show All Reports | All Users' Reports View Report

Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested
Ready	E13333	CBOT		Fee Summary	Account Summary	Fri Apr 27 13:20:12 CDT 2012
Ready	E13333	CBOT		Fee Summary	Condensed Trade Detail Extract	Fri Apr 27 13:20:24 CDT 2012
Ready	E13333	CBOT		Fee Summary	Fee Type Summary	Fri Apr 27 13:20:35 CDT 2012
Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested

After selecting the line item for the appropriate report, a new window will open to display the report.

Once Adobe Acrobat has completed loading the PDF format, the report will be displayed. If the report is not being displayed, make sure that the most recent version of Adobe Acrobat is available.

Report Viewer: PDF Report Sample



1 / 554 80% Sign Find

CME Trade Summary

Firm-Equals-999|Process Date-Between-01-01-2010 and 01-21-2010

Firm: 999

Cmod		Fee Type	Trader ID	Tran Type	Trade Loc	Quad	Price Code	Rate	App Fee Ind	Incentive Ind	Qty	Total
Main Account:					Owner(s):							
Account Title:												
Trading Account:												
AD	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	64	$7.00
BP	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	6	$1.00
C1	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	35	$3.50
C1	O	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	2	$1.00
EC	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	6	$1.00
ED	F	POSITION ADJUSTMENT		POS ADJ	PIT	INT		0.100	C	None	1	$1.00
ES	F	POSITION ADJUSTMENT		POS ADJ	PIT	INDX		0.100	C	None	512	$51.20
ES	F	CLEARING FEE		EXERCISE	PIT	INDX		0.390	C	None	90	$35.10
ES	F	E/A SURCHARGE		EXERCISE	PIT	INDX		0.050	C	None	90	$4.50
ES	F	CLEARING FEE		ASSIGNMENT	PIT	INDX		0.390	C	None	54	$21.06
J1	F	POSITION ADJUSTMENT		POS ADJ	PIT	CURR		0.100	C	None	444	$44.40

Adobe PDF Functions

Within the PDF document, the following functions can be accessed by clicking the associated icon.

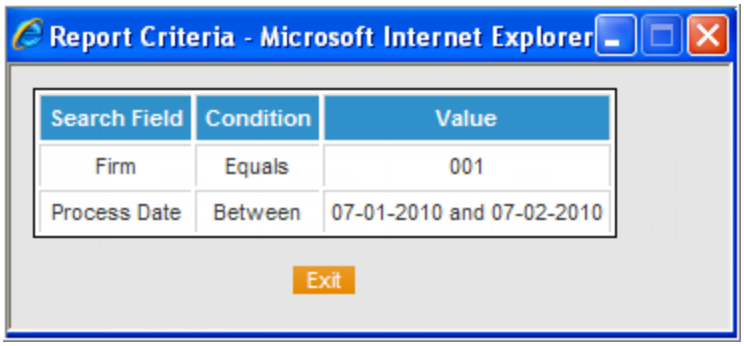
Functions that can be accessed ABOVE the report	Functions that can be accessed BELOW the report
- Save the report as a .pdf file View the first page of the report	- View the **first page** of the report
- Print the report View the previous page of the report	- View the **previous page** of the report
- Search for items within the report View the next page of the report	- View the **next page** of the report
	- View the **last page** of the report

View Report Criteria

To view the criteria entered for a report in the Report Viewer:

1. Select **View Report Criteria** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to view the criteria.
3. The **Report Criteria** window will appear, displaying the criteria submitted for that report.
4. To close the Report Criteria window, select the **Exit** button or the close icon.

Report Viewer: View Report Criterion

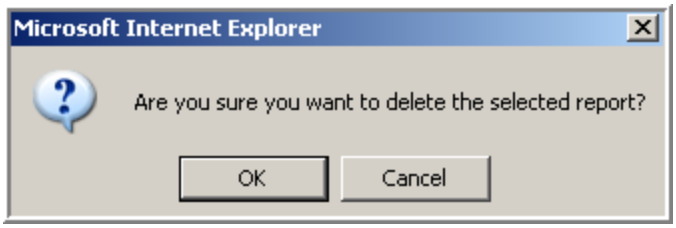


Delete Report

To delete a report from the Report Viewer:

1. Select **Delete Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to delete.
3. An alert message will appear requesting confirmation of the report deletion - click **OK** to confirm or **Cancel** to exit.

Report Viewer: Delete Report Alert Message

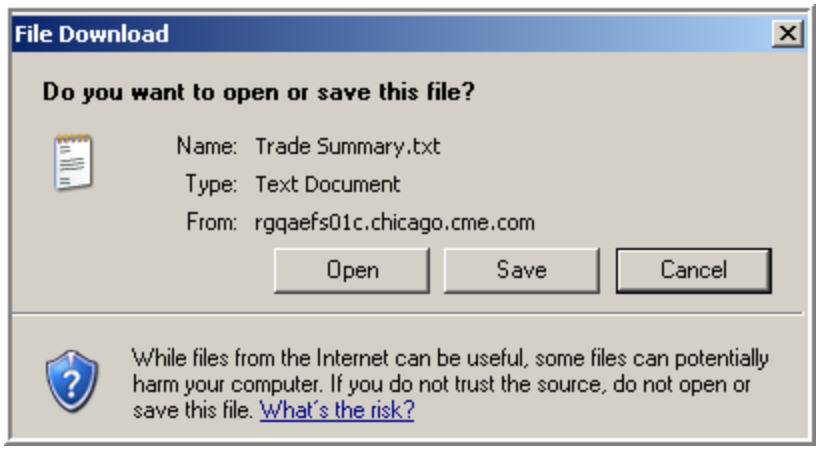


Extract Report

To extract a report from the Report Viewer

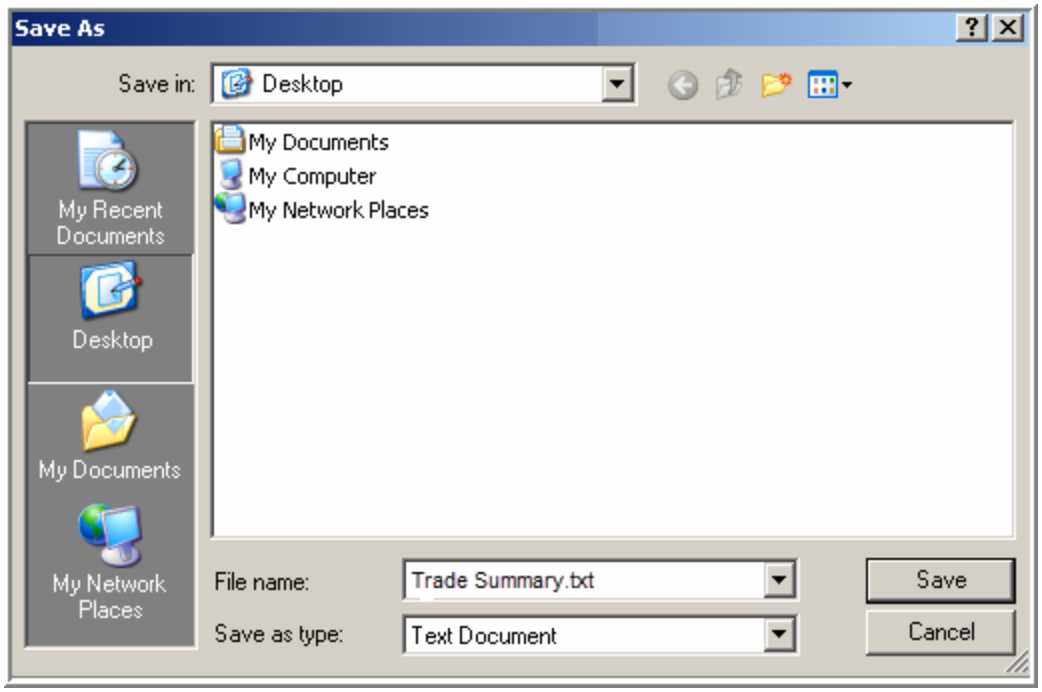
1. Select **Extract Report** from the drop-down list in the top right corner of the Report Viewer.
2. Select the line item corresponding to the report to be extracted.
3. A File Download message box will appear - click **OPEN** to open the file and the data will display in Notepad; click **SAVE** to save the report; or click **CANCEL** to exit.

Report Viewer: File Download Message Dialog Box


File Download
Do you want to open or save this file?
Name: Trade Summary.txt
Type: Text Document
From: rgqaefs01c.chicago.cme.com
Open
Save
Cancel
While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?

4. If the user selects **SAVE**, a **Save As** box will appear to indicate where to save the file. Once indicating the location and File name, click **Save**. The file is saved in a tab delimited format and may be imported into any machine readable format such as MS Excel or MS Access.

Report Viewer: Save As Message Dialog Box



Other Report Viewing Features

Report Display

The Report Viewer will default to showing only reports requested during the current day. To view reports requested prior to the current day, click the **Show All Reports** hyperlink in the upper right corner of the Report Viewer. The Report Viewer will retain two weeks of reports.

To go back to only viewing the current day's report requests, click the **Today's Reports** hyperlink.

Other Report Features: Report Display

All Users Reports

To display a report request by another EFS User, click **All Users Reports**.

Refresh Reports

When the report is in the **Requested** status, to refresh the Report Viewer to see if the Report Status has changed the user may:

- Select the Refresh Icon button at the top of the browser or
- Select the **F5** key from the keyboard.

The Report Status will automatically refresh every 45 seconds.

New Report

To submit a new report request when in the Report Viewer window, click **Reports** and select the **Request** sub-menu to navigate back to the Report Request screen.

Globex Registration

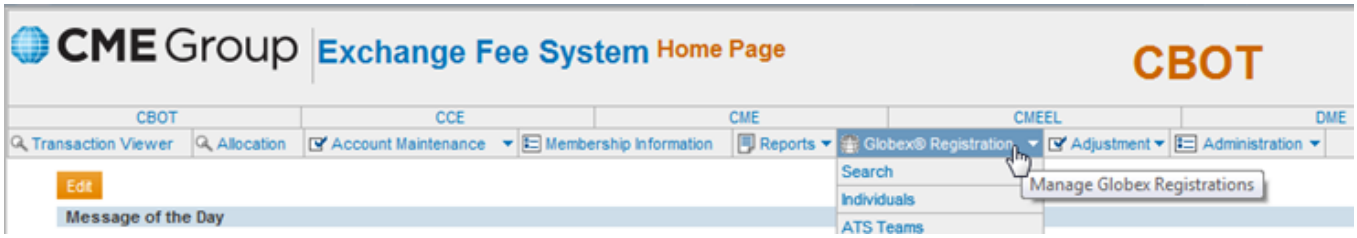
The CME Globex® Registration functionality allows Users to register Globex Operator IDs (also known as Trader IDs or "Tag 50" IDs), as well as search, edit and view details for previously registered IDs.

The **Individuals** and **ATS Teams** screens allow Users to store information for electronic traders in lists that are unique to the User's Guaranteeing Firm.

NOTE: All market Users should be aware that CME Group Rule 576 ("Identification of Globex Terminal Operators") requires that terminal operators be identified to the Exchange in the manner prescribed by the Exchange. CME Group Clearing Member Firms/Entities are reminded that the rule also makes it "the duty of the clearing member to ensure that registration is current and accurate at all times."

Accessing Globex Registration

To access Globex Registration select the option from the navigation menu.



Globex Registration has three sub-menu options:

- **Search** - Select this option to view Operator IDs that are already registered. This option enables the User to work in Basic or Advanced Search. After completing a search, edit or copy functions can be completed, or search results can be extracted.
- **Individuals** -Select this option to manage individuals guaranteed by a firm as well as to create, edit or view Operator IDs for individuals.
- **ATS Teams** – Select this option to manage ATS Teams guaranteed by a firm as well as to create, edit or view Operator IDs for ATS Teams.

Adding Individuals

To register an Individual Operator ID, select **Individuals** from the Globex Registration sub-menu. The **Individuals** page appears.

Creating Individual

Before registering the Operator ID, Users will register all of the required personal information for an electronic trader in the **Individuals** screen. An individual must be added to the guaranteeing firm only once and will then be available in the individual list for any future updates.

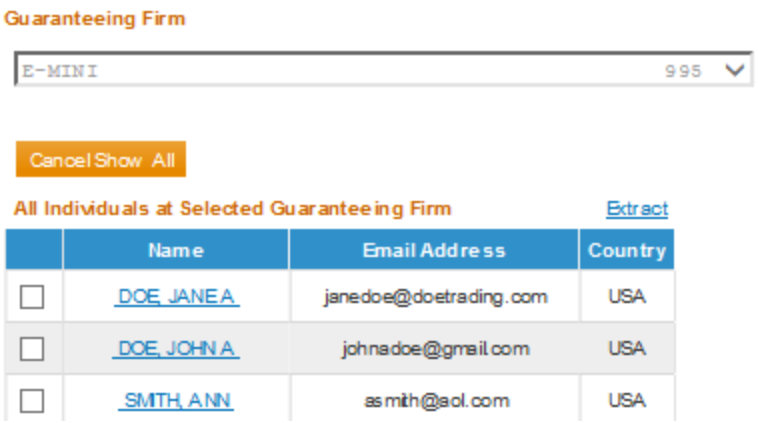
- This list is unique to the User's guaranteeing firm.
- Any members added to the guaranteeing firm do not have to be re-added when membership status changes occur.
- This screen is used to enter information for individual traders as well as individuals who are a part of an ATS Team.

To enter information for an Individual:

1. Select a guaranteeing firm from the list.
2. Input the First and/or Last name in the field Individual Name Contains.

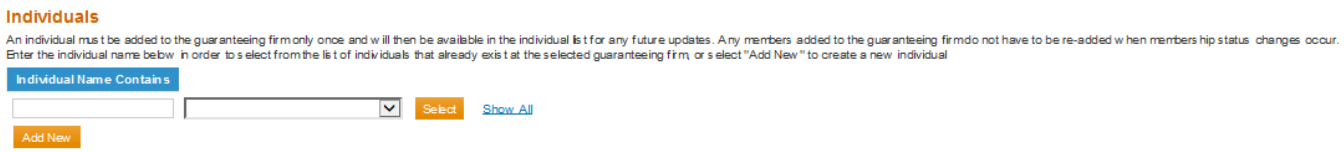
3. The system will suggest possible matches from the list of individuals that already exist at the selected guaranteeing firm.
    - The **Show All** hyperlink may be used to display all individuals in the list at the selected guaranteeing firm. When using the **Show All** feature, select the hyperlink for **Name** to be directed to the **Individual Details** for that individual. Select **Cancel Show All** to return to the previous screen.
    - When viewing the **Show All** link, use the **Extract** hyperlink to extract all individuals currently listed for the selected guaranteeing firm.

    Show All Link



4. If the Individual name appears in the drop-down, highlight that name from the list and choose Select. The screen will refresh to display the **Individual Details** for that individual where the User can continue the process of adding an Operator ID (see Registering an Individual Operator ID).
5. If no match is found, select **Add New** to associate a new individual with the selected guaranteeing firm.

    Individuals Page


Individuals
An individual must be added to the guaranteeing firm only once and will then be available in the individual list for any future updates. Any members added to the guaranteeing firm do not have to be re-added when members hip status changes occur.
Enter the individual name below in order to select from the list of individuals that already exist at the selected guaranteeing firm, or select "Add New" to create a new individual
Individual Name Contains
Select
Show All
Add New

Membership System Matches

The screen will be updated and based on the previous entry, will display potential **Membership System Matches** for individuals that already exist in the CME Group Membership system. This list will include Members, CME and CBT Clerk for Members and NYMEX Power of Attorney.

- If individual is in the **Membership System Matches** list click Add next to the corresponding row to associate with the selected guaranteeing firm and proceed to enter an Operator ID for this individual (see Registering an Individual Operator ID).
- To verify the correct individual has been selected, use the **View Details** hyperlink to view member details for the associated Exchange or Incentive Program. Click **Close** to return to the **Membership System Matches**.

    View Details Link

CBT Member Details

Broker Symbol	Seat	Business Code	Effective Date	Expiration Date	FULL	AM	GIM	COM	IDEM	Badge Firm Id	Badge Firm Name
MST	AM	IDN	04-04-2008	01-06-2011	N/A	LEASING AM SEAT	N/A	N/A	N/A	995	E-MINI
MST	AM	IDN	01-24-2011	12-31-9999	N/A	LEASING AM SEAT	N/A	N/A	N/A	995	E-MINI

Close

- If information was entered in error, click Cancel to clear the page and return to the Individuals list.
- If no match exists, proceed to the Manual Entry section of the screen.

Membership Matches

Membership System Matches

If individual is in this list, click the "Add" button next to the corresponding row. Then you will be able to enter operator IDs and/or ATS Team assignments for this individual.

Name	Country	Email Address	CBT	CME	NYX	NTIP	
TRADER, JAMES G.	USA	james.g.trader@trader.com	N/A	View Details	N/A	N/A	Add
TRADER, SCOTT E	USA	scott.e.trader@trader.com	N/A	N/A	View Details	N/A	Add

Manual Entry

If individual is not listed in the **Membership System Matches** section, personal information should be entered in the **Manual Entry** section. (Required Fields are marked by an asterisk).

1. Enter the First Name, Middle Initial, Last Name and Suffix in the appropriate fields.

Manual Entry

If individual is not in the above list you can specify his details below. Please note that manually-entered individuals cannot be registered as members.

First	Middle	Last	Suffix

Country	Birth Date	Email Address	
USA			Add

Cancel

2. Select a Country from the drop-down which represents where the trader is located (defaults to USA).
3. Input a Birth Date in the format of (MM-DD-YYYY) or click the calendar icon to the right of the Date of Birth field and click on the appropriate date.

   NOTE: The Date of Birth must represent a trader that is at least 18 years old.

4. Input the individual's email address (optional).
5. Click **Add** to continue. The User will receive a confirmation message stating that the individual has been successfully added.
6. If something was entered in error, click Cancel to clear the page and return to the **Individuals** page.
7. When manual entry is complete, proceed to Registering an Individual Operator ID to continue.

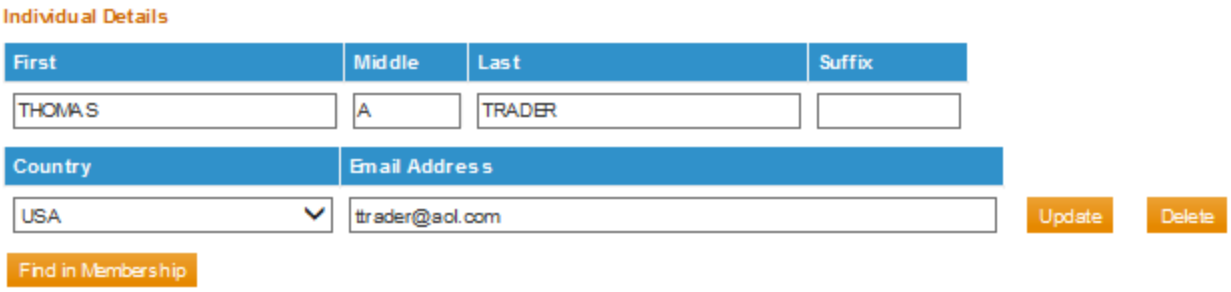
   NOTE: Manually-entered individuals cannot be associated with a Tag50 ID using a Registration Type of Member, Clerk for Member or NYMEX Power of Attorney.

Individual Details

After identifying a Membership System Match or completing a Manual Entry, the screen will refresh with **Individual Details** displayed. If the User is viewing an individual who had already been added to the firm's list, this page will also display **Registered Operator IDs** and **Assigned ATS Teams** with which this individual is associated.

- To revise personal information input text in the associated **Individual Details** field and click **Update**. Note that Date of Birth is stored in the system but is not displayed on the screen; therefore this field cannot be edited.
- Upon manually entering an individual, the User may click **Find in Membership** to search **Membership System Matches** to convert to a membership individual at any time.
- To remove this individual from the guaranteeing firm list and return to the **Individuals** page, click **Delete**.

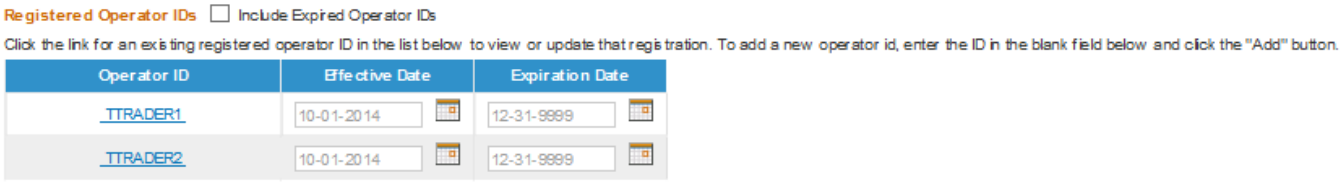
Individuals Screen



The screen will display the following information:

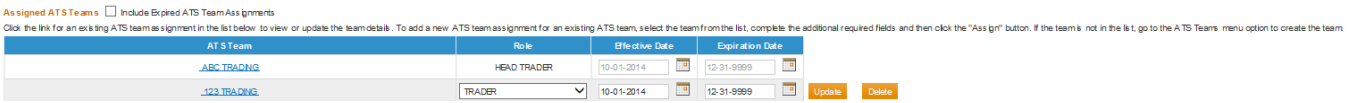
- **Registered Operator IDs** with which the individual is currently associated.
  - When no IDs have been associated with this individual the screen will display **Individual is not directly associated with any Operator IDs**.
  - To view Expired Operator IDs, check the **Include Expired Operator IDs** checkbox.
  - Click the link for an existing registered operator ID in the list to view or update that registration (see Editing Operator IDs).

Registered Operator IDs


Registered Operator IDs
Include Expired Operator IDs
Click the link for an existing registered operator ID in the list below to view or update that registration. To add a new operator id, enter the ID in the blank field below and click the "Add" button.
Operator ID
Effective Date
Expiration Date
TTRADER1
10-01-2014
12-31-9999
TTRADER2
10-01-2014
12-31-9999

- **Assigned ATS Teams** with which the individual is currently associated.
  - When no ATS Teams have been associated with this individual the screen will display **Individual is not assigned to any teams**.
  - To view expired team assignments, check the **Include Expired ATS Team Assignments** checkbox.
  - Click the link for an existing registered ATS Team in the list to view or update that team (see Editing ATS Team Information).

Assigned ATS Teams


Assigned ATS Teams
Include Expired ATS Team Assignments
Click the link for an existing ATS team assignment in the list below to view or update the team details. To add a new ATS team assignment for an existing ATS team, select the team from the list, complete the additional required fields and then click the "Assign" button. If the team is not in the list, go to the ATS Teams menu option to create the team
ATS Team
Role
Effective Date
Expiration Date
ABC TRADING
HEAD TRADER
10-01-2014
12-31-9999
123 TRADING
TRADER
10-01-2014
12-31-9999
Update
Delete

Registering an Individual Operator ID

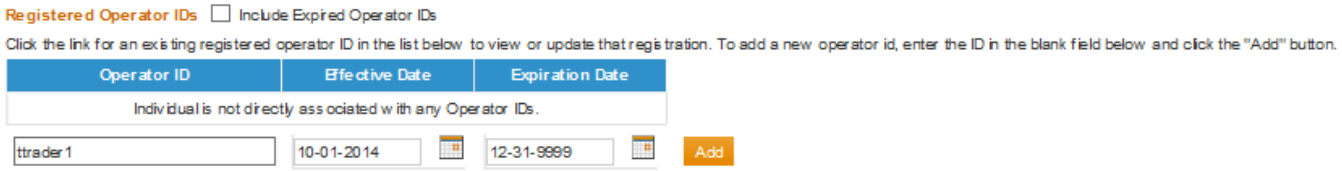
Once an individual is available in the selected guaranteeing firm's list, the User may proceed to register an Individual Operator ID in the Individual Details screen.

New Individual Registration

To complete a new Operator ID registration:

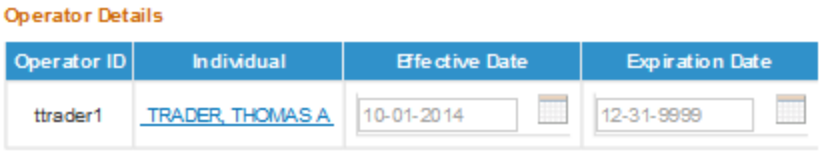
1. In the **Registered Operator IDs** section, input the Operator ID into the field (maximum of 18 characters).
2. Enter the **Effective Date** to indicate when this Operator ID should be effective. The effective date defaults to the current business day; to select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Effective Date field.
3. The **Expiration Date** defaults to 12-31-9999, which represents no expiration date. To select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Expiration Date field.
4. Click **Add** to continue.

New Operator ID Registration


Registered Operator IDs
Include Expired Operator IDs
Click the link for an existing registered operator ID in the list below to view or update that registration. To add a new operator id, enter the ID in the blank field below and click the "Add" button.
Operator ID
Effective Date
Expiration Date
Individual is not directly associated with any Operator IDs.
ttrader1
10-01-2014
12-31-9999
Add

5. The screen will refresh to display the **Operator Details** as read-only text.
   - If information was added incorrectly, click **Cancel** to return to the previous screen (**Individual Details**).
   - The screen will clear out the Operator ID which was previously entered.

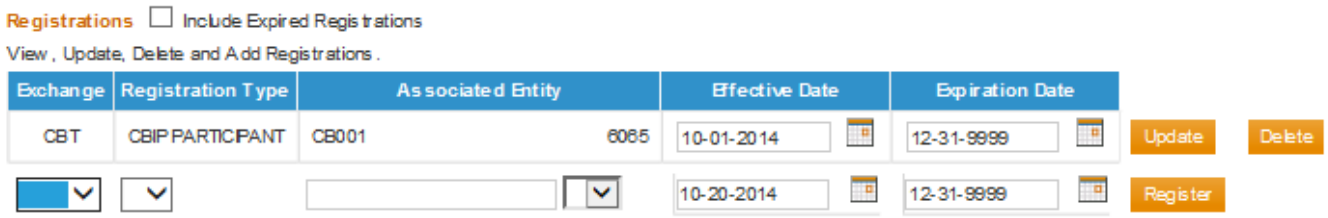
Operator Details



6. Proceed to the **Registrations** section to complete the fields for each applicable Exchange.
7. Select the **Exchange** indicator (CBT, CME, NYX)
8. Select the **Registration Type**. Registration types will vary based on the selected Exchange (see Associated Field Name Definitions).
   - For individuals who have been identified as a **Member**, **Clerk for Member** or **Power of Attorney**, the Registration Type will be pre-populated, but the User may select another Registration Type from the dropdown.
   - If the Registration Type selected was **Clearing Member Firm Trader** then an additional selection will be required for **Clearing Member Firm Individual Type**. Make a selection from the drop-down list to identify the appropriate status of the trader:
     - Commodity Trading Advisor (CTA)
     - Independent Contractor 1099-MISC
     - Owner with $250K+ interest
     - W-2 employee

9. Select the **Associated Entity** to which the trader is associated by highlighting the entity in the Trading Entity list. The User may utilize the auto-text feature by entering the first few characters of the entity name in the field to avoid scrolling through the entire list.
    - The **Associated Entity** list available for selection will contain entities that have status based on the Registration Type selected.
    - If an **Associated Entity** does not appear in the list, the User should review the entity's status at each Exchange and revise the **Registration Type** selection accordingly.
10. Select **Register** to add information for the selected Exchange or select Cancel to clear the page and return to the **Individual Details** page.
    - Note that the **Effective** and **Expiration** dates for the first Exchange selected default to the dates selected for the Operator ID.
    - If registration was successfully completed the User will receive a confirmation message.
11. To add additional Exchanges, proceed to the next row, submit the required information and select **Register**.
    - **Effective** and **Expiration** Dates must be selected. The effective date defaults to the current business day. The expiration date defaults to 12-31-9999. To select different dates, input the date (MM-DD-YYYY) or click the calendar icon next to the date field.
    - If information has been entered in error, reference Editing Operator IDs.

Exchange Registrations



NOTE: Upon completion of registering the Operator ID, trades will need to be submitted for recalculation manually in the Transaction Viewer when the Operator ID's effective date is earlier than the current business date.

Adding ATS Teams to Guaranteeing Firms

An Automated Trading System (ATS) is a system that automates the generation and routing of orders to Globex. ATS Teams are comprised of a Head Trader and at least one additional team member.

Creating Team Name

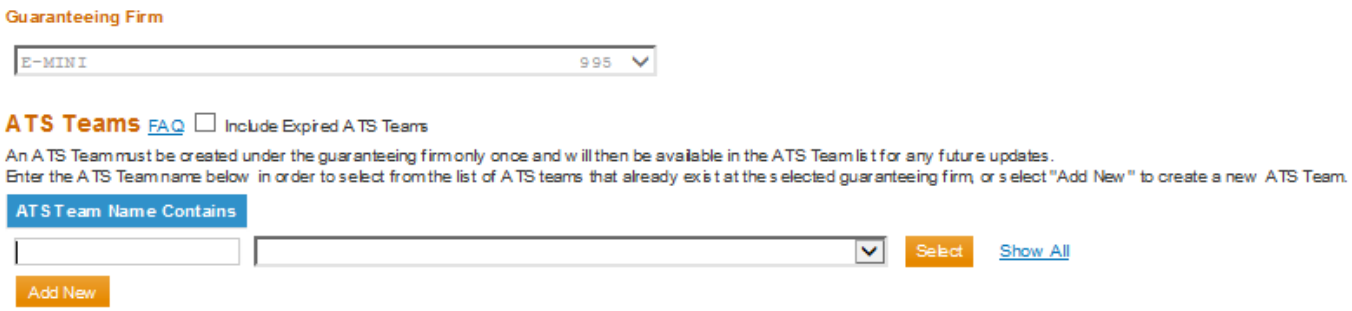
ATS Teams must be identified in EFS with the ATS team name along with information for the Head Trader and other team members. Before registering the Operator ID, Users will register all of the required information for an ATS Team. A team must be added to the guaranteeing firm only once and will then be available in the ATS Team list for any future updates. This list is unique to the User's guaranteeing firm.

To create an ATS Team:

1. From the Globex Registration dropdown menu, Select **ATS Teams**.

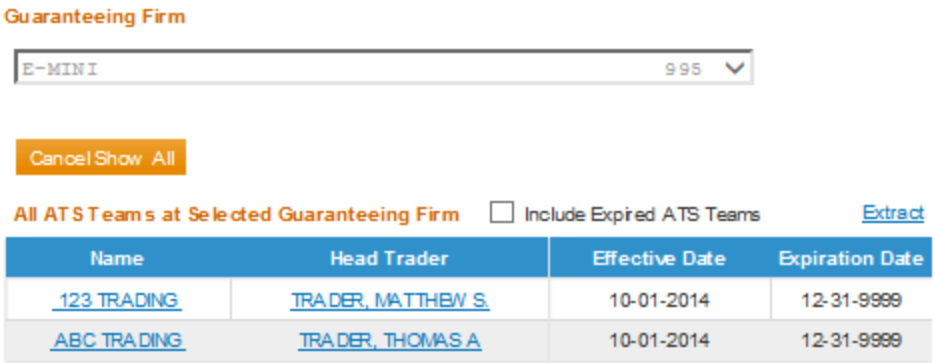
   The **ATS Teams** page appears.
2. Select a guaranteeing firm from the list.
3. Input the ATS Team name in the field **ATS Team Name Contains**.

   ATS Team Page


Guaranteeing Firm
E-MINI 995
ATS Teams FAQ Include Expired ATS Teams
An ATS Team must be created under the guaranteeing firm only once and will then be available in the ATS Team list for any future updates.
Enter the ATS Team name below in order to select from the list of ATS teams that already exist at the selected guaranteeing firm, or select "Add New" to create a new ATS Team.
ATS Team Name Contains
Select
Show All
Add New

4. The system will suggest possible matches from the list of ATS Teams that already exist at the selected guaranteeing firm.
    - The **Show All** hyperlink may be used to display a list of all ATS Team names in the guaranteeing firm list. Select **Cancel Show All** to return to the previous screen. When using the **Show All** feature, select the hyperlink for Name to be directed to the **ATS Team Details Page** for that ATS Team. Select the hyperlink for **Head Trader** to be directed to the **Individual Details** for that ATS Team's Head Trader.
    - Use the **Extract** hyperlink to extract all ATS Teams currently listed for the selected guaranteeing firm. This list will include ATS Teams, their Head Traders and associated members, roles and effective dates. To include expired teams or team members in the extract, check the **Include Expired ATS Teams** checkbox.

    Show All Link



5. If the ATS Team name appears in the drop-down, highlight that team name from the list and choose **Select**. The screen will refresh to display the **ATS Team Details** for that team where the User can continue the process of adding an Operator ID (See Registering an ATS Team Operator ID).
6. If no match is found, select **Add New** to associate a new ATS Team with the selected guaranteeing firm.

Adding ATS Team Members

After adding a new ATS Team name, the screen will refresh to the **Add ATS Team** page with the ATS Team Name pre-populated in the field.

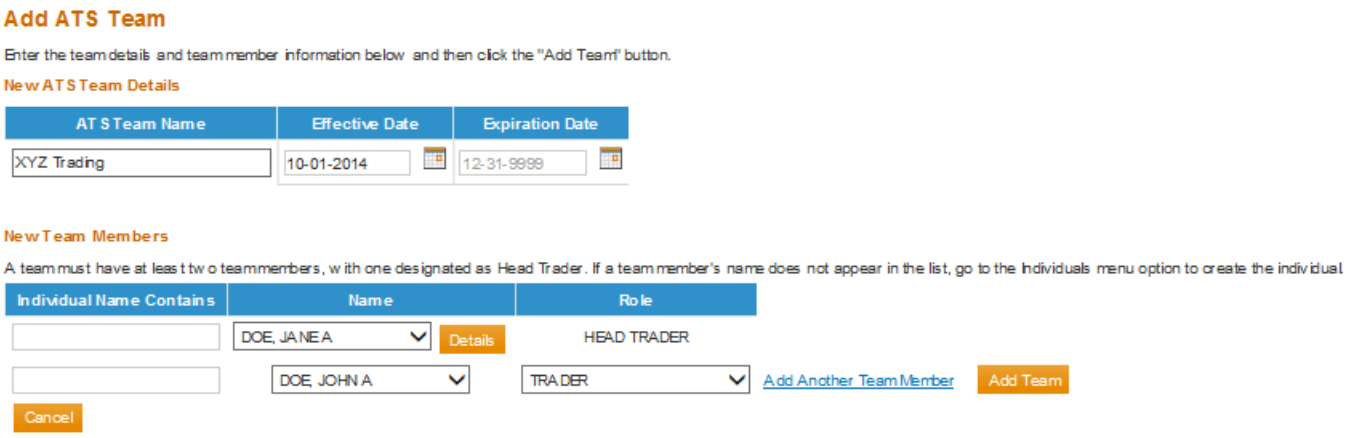
To add a new ATS Team:

1. Enter the **Effective Date** to indicate when this ATS Team should be effective. The effective date defaults to the current business day; to select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Effective Date field.
2. The **Expiration Date** defaults to 12-31-9999, which represents no expiration date. To select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Expiration Date field.
3. In the **New Team Members** section, enter information for the team members.

- A team must have at least two members, with one designated as Head Trader.
- Input the First and/or Last Name for the Head Trader in the field **Individual Name Contains**.
  - If the Head Trader's name appears in the dropdown, highlight that name from the list and choose **Select**. If the Head Trader's name does not appear in the list, go to the **Individuals** menu option to create the Individual (see Individual Operator ID).
  - To verify the correct individual has been selected, click Details.
  - The User will not be required to select a role for the first entry since it defaults to the role of Head Trader.

4. Enter information for additional team members.
   - Select **Add Another Team Member** to create additional rows, or select **Add Team** when the team is complete. The User will receive a confirmation message that the team has been created.
   - If the team member's name does not appear in the list, go to the **Individuals** menu option to create the Individual (see Individual Operator ID).
   - Select **Cancel** to clear the screen and return to the **ATS Teams** screen.

Add ATS Team


Add ATS Team
Enter the team details and team member information below and then click the "Add Team" button.
New ATS Team Details
ATS Team Name
Effective Date
Expiration Date
XYZ Trading
10-01-2014
12-31-9999
New Team Members
A team must have at least two team members, with one designated as Head Trader. If a team member's name does not appear in the list, go to the Individuals menu option to create the individual
Individual Name Contains
Name
Role
DOE, JANE A
Details
HEAD TRADER
DOE, JOHN A
TRADER
Add Another Team Member
Add Team
Cancel

NOTE: Selection of the Head Trader Registration Type will determine the Clearing and Exchange Fees for the related Tag50 ID.

ATS Team Details

After identifying a match in the guaranteeing firm's list or adding a new ATS Team, the screen will refresh with **ATS Team Details** and **Team Members** displayed. If the User is viewing an ATS Team that had already been added to the firm's list, this page will also display **Registered Operator IDs** with which this ATS Team is associated.

- To revise team details, make changes in the **ATS Team Details** section and click **Update**.
- To remove this **ATS Team** from the guaranteeing firm list and return to the ATS Teams page click **Delete ATS Team**.

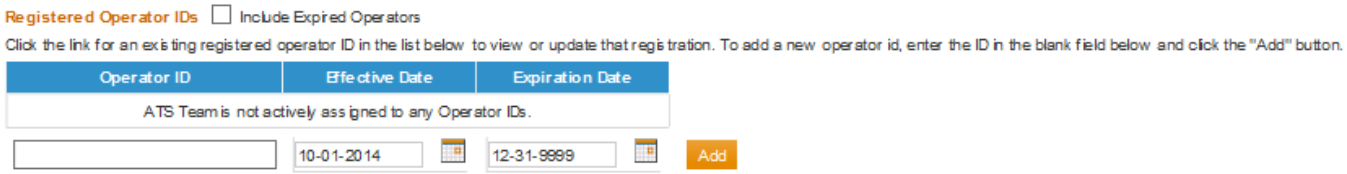
Registering an ATS Team Operator ID

Once an ATS Team is available in the guaranteeing firm's list, the User may proceed to register an ATS Team Operator ID in the Registered Operator IDs screen.

To complete a new registration:

1. In the Registered Operator IDs section, input the **Operator ID** into the field (maximum of 18 characters).
2. Enter the **Effective Date** to indicate when this Operator ID should be effective. The effective date defaults to the current business day; to select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Effective Date field.
3. The **Expiration Date** defaults to 12-31-9999, which represents no expiration date. To select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Expiration Date field.
4. Click **Add** to continue.

   New ATS Team Operator ID Registration


Registered Operator IDs
Include Expired Operators
Click the link for an existing registered operator ID in the list below to view or update that registration. To add a new operator id, enter the ID in the blank field below and click the "Add" button.
Operator ID
Effective Date
Expiration Date
ATS Team is not actively assigned to any Operator IDs.
10-01-2014
12-31-9999
Add

5. The screen will refresh to display the **Operator Details** as read-only text. If information was entered incorrectly, click Cancel to return to the previous screen. The User may also select the link to the Head Trader to return to **Individual Details** for that Head Trader. The screen will clear out the Operator ID which was previously entered when either option is selected.

   Operator Details

6. Proceed to the **Registrations** section to complete the fields for each applicable Exchange.
7. Select the **Exchange** Indicator (CBT, CME, NYX)
8. Select the **Registration Type**.
   - Use the status of the ATS Team Head Trader to determine the Registration Type.
   - Registration types will vary based on the selected Exchange (see Associated Field Name Definitions).
   - If the user type selected was **Clearing Member Firm Trader** then an additional field will be required, **Clearing Member Firm Individual Type**. Select from the drop-down list the appropriate status of the trader:
     - Commodity Trading Advisor (CTA)
     - Independent Contractor receiving a 1099-MISC
     - Owner of the firm with at least $250,000 invested in the firm
     - W-2 employee of that clearing firm

   NOTE: Clerk for Member Registration Type cannot be associated with an ATS Team.

9. Select the **Associated Entity** to which the ATS Team Head Trader is associated by highlighting the entity in the Trading entity list. The User may also utilize the auto-text feature by entering the first few characters of the entity name in the field to avoid scrolling through the entire list.
10. Select **Register** to add information for the selected Exchange.

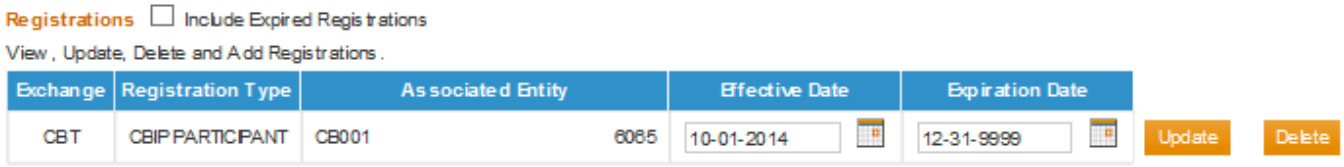
    NOTE: Effective and Expiration dates for the selected Exchange default to the dates selected for the Operator ID.

    - If registration was successfully completed the user will receive a confirmation message.

11. To input information for additional Exchanges, proceed to the next row, submit the required information and select Register.
    - **Effective** and **Expiration** Dates must be selected. The effective date defaults to the current business day. The expiration date defaults to 12-31-9999. To select different dates, input the date (MM-DD-YYYY) or click the calendar icon next to the date field.
    - If an Exchange, Registration Type or Associated Entity was entered in error, select Delete to start over. Deleting the last registration will also delete the Operator ID.
    - If a date was entered incorrectly, make a correction and select **Update**.

NOTE: Upon completion of registering the Operator ID, trades will need to be submitted for recalculation manually in the Transaction Viewer when the Operator ID's effective date is earlier than the current business date.

ATS Team Exchange Registrations



Globex Registration Search

To view the details for previously registered electronic traders and their associated Tag 50 IDs, the User may select a Basic or Advanced Search. To begin a search, select Search from the Globex Registration navigation menu. The User will be directed to the Basic Search screen.

Performing a Basic Search

Basic search offers four different fields by which the search results may be retrieved. Users may enter search criteria for one or more of the basic search fields which include Guaranteeing Firm, Operator ID, First Name or Last Name.

Searching by Guaranteeing Firm

1. Select the **Guaranteeing Firm** from the drop-down.
    - If the User leaves the other Basic Search fields blank, the search results will contain all Operator IDs for the selected Guaranteeing Firm.
    - If the User selects a Guaranteeing Firm and enters a string of characters in any of the other Basic Search fields, the list will contain only Operator IDs which match that string of characters.
2. To include expired Operator IDs in the search, check the **Show Expired** box.
3. Click **Search** to retrieve the registered Operator IDs.

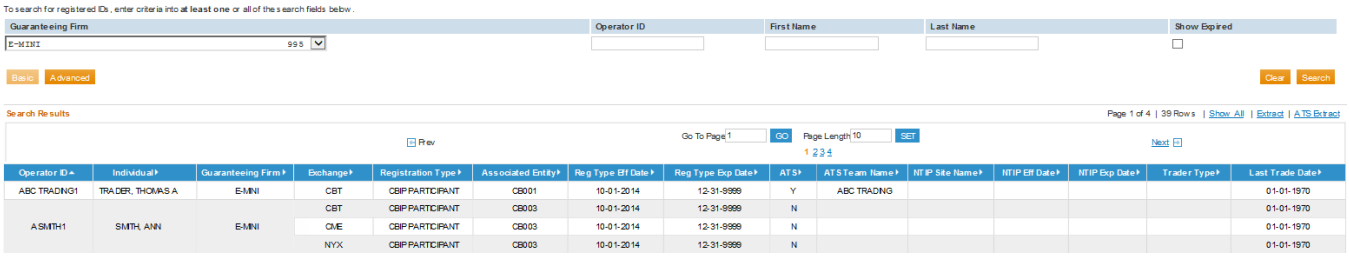
Searching by Operator ID, First or Last Name

1. Select the Guaranteeing Firm from the drop-down.
2. In the Operator ID field input in the string of characters contained in the Operator ID. The string of characters entered does **not** have to be an exact match; it will retrieve all items that contain that string.

3. To include expired Operator IDs in the search, check the **Show Expired** box.
4. Click **Search** to retrieve the registered Operator IDs.

Basic Search Results

The search results will be displayed in a section below the search criteria and will contain all field values associated with the ID.


To search for registered IDs, enter criteria into at least one or all of the search fields below.

Guaranteeing Firm: E-MINI 995 | Operator ID | First Name | Last Name | Show Expired

Basic | Advanced | Clear | Search

Search Results — Page 1 of 4 | 39 Rows | Show All | Extract | ATS Extract

Prev | Go To Page 1 GO | Page Length 10 SET | 1 2 3 4 | Next

Operator ID	Individual	Guaranteeing Firm	Exchange	Registration Type	Associated Entity	Reg Type Eff Date	Reg Type Exp Date	ATS	ATS Team Name	NTIP Site Name	NTIP Eff Date	NTIP Exp Date	Trader Type	Last Trade Date
ABC TRADING1	TRADER, THOMAS A	E-MINI	CBT	CBIP PARTICIPANT	CB001	10-01-2014	12-31-9999	Y	ABC TRADING					01-01-1970
ASMITH1	SMITH, ANN	E-MINI	CBT	CBIP PARTICIPANT	CB003	10-01-2014	12-31-9999	N						01-01-1970
			CME	CBIP PARTICIPANT	CB003	10-01-2014	12-31-9999	N						01-01-1970
			NYX	CBIP PARTICIPANT	CB003	10-01-2014	12-31-9999	N						01-01-1970

To start a new search:

Go back to the search fields at the top of the page, change the search parameters as needed and then click **Search**.

OR

Click **Clear** to clear the Search fields.

Performing an Advanced Search

Advanced Search offers additional fields by which the registered Operator IDs may be retrieved. To start an Advanced Search, select **Search** from the Globex Registration Navigation Menu and click **Advanced**.

There are five different categories which contain a variety of values by which information for the electronic trader and the associated Operator IDs may be retrieved.

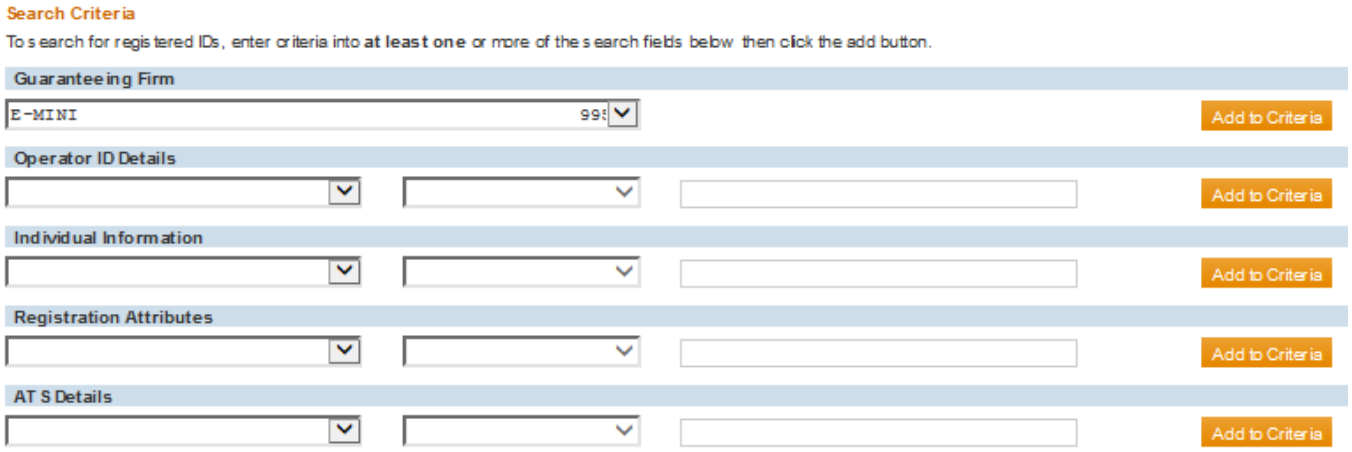
Refer to Advanced Search Screen for detailed field definitions.

- Guaranteeing Firm
- Operator ID Details
- Individual Information
- Registration Attributes
- ATS Details

To build an advanced search:

1. Select a field from the drop-down of one of the five categories
2. Select an operand (Note that in some instances, the operand will be pre-populated).
    - contains, equals, begins with, ends with
    - equals, before, after, between
3. Input a value into the field (Note that in some instances, the value will be pre-populated).

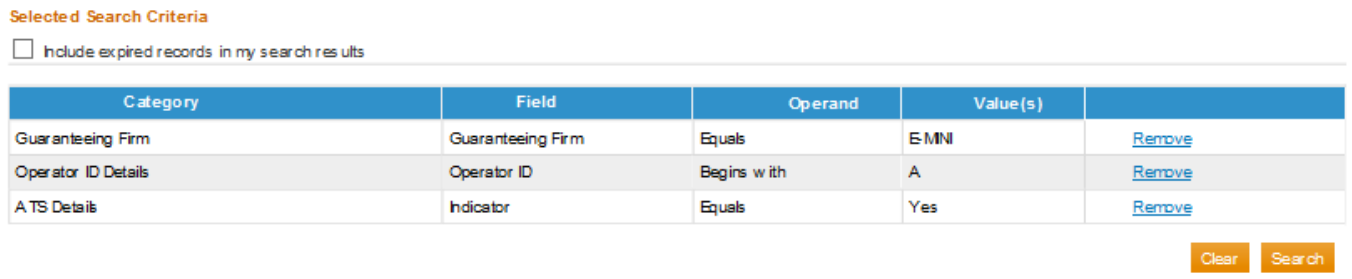
Advanced Search


Search Criteria
To search for registered IDs, enter criteria into at least one or more of the search fields below then click the add button.
Guaranteeing Firm
E-MINI
Add to Criteria
Operator ID Details
Add to Criteria
Individual Information
Add to Criteria
Registration Attributes
Add to Criteria
ATS Details
Add to Criteria

4. Select **Add to Criteria** o Search criteria will be added to the **Selected Search Criteria**.

   When using the “equals” operand, multiple values can be added to the search criteria one at a time.

5. Continue to add additional criteria to create a more specific search.
   - To remove an item from **Selected Search Criteria**, select the **Remove** hyperlink in the corresponding row.
   - To include expired Operator IDs in the search, check the **Include expired records in my search results** checkbox
6. Click **Search** to retrieve the registered Operator IDs. Selected Search Criteria Advanced Search



Advanced Search Results

The search results will be displayed in a section below the search criteria and will contain all field values associated with the ID.

To start a new search:

Go back to the Search Criteria to add fields or to the **Selected Search Criteria** to remove fields

OR

Select **Clear** to completely clear the search screen

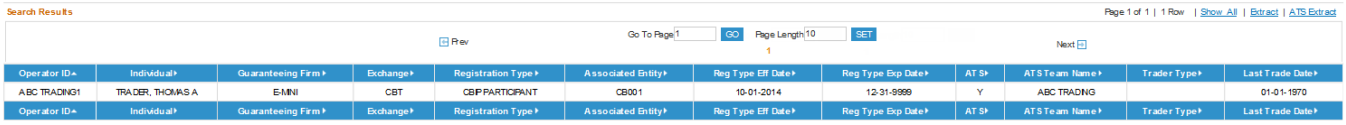
OR

Select **Basic** to return to a Basic Search

Extracting Operator IDs

To extract the Operator ID search results click the **Extract**, or **ATS Extract** link located at the top right corner of the search results section.

Extract Hyperlink


Search Results

Page 1 of 1 | 1 Row | Show All | Extract | ATS Extract

Prev Go To Page 1 GO Page Length 10 SET Next

1

Operator ID	Individual	Guaranteeing Firm	Exchange	Registration Type	Associated Entity	Reg Type Eff Date	Reg Type Exp Date	ATS	ATS Team Name	Trader Type	Last Trade Date
ABC TRADING1	TRADER, THOMAS A	E-MINI	CBT	CBP PARTICIPANT	CB001	10-01-2014	12-31-9999	Y	ABC TRADING		01-01-1970
Operator ID	Individual	Guaranteeing Firm	Exchange	Registration Type	Associated Entity	Reg Type Eff Date	Reg Type Exp Date	ATS	ATS Team Name	Trader Type	Last Trade Date

- The **Extract** hyperlink will provide an extract of the data results (excluding ATS Teams) sorted by ID.
- The **ATS Extract** will provide an extract of all ATS Team registration details within the search results.

After selecting one of the extract hyperlinks, a windows dialog box will appear requesting the User to **Open** or **Save** the tab delimited file. To cancel the extract process, select **Cancel**. The tab delimited file will contain all of the field values displayed on the search results screen.

Editing Operator IDs

To expire, unexpire, delete or copy an Operator ID or any of the associated Exchanges or Registration Types, use the Search Screen to retrieve the Operator ID. If the ID has previously been expired, check the **Include Expired Records in My Search Results** checkbox. Then click to select the line item to be modified from the search results list. The User will be redirected to the page displaying **Operator Details** and **Registrations**.

Modify/Delete Operator IDs and Effective or Expiration Dates

To expire, unexpire or modify the effective or expiration date of the Operator ID and all of its associated Exchange registrations:

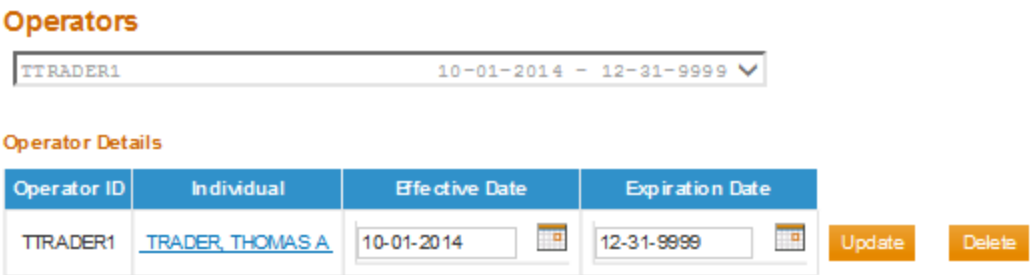
1. From the search results, select a line item.
2. Modify the effective or expiration date in **Operator Details**, and select **Update**.
3. After clicking **Update**, a confirmation will display indicating the information has been saved.

To delete the Operator ID and all of its associated Exchange registrations:

1. From the search results, select a line item.
2. Select **Delete** in the corresponding row in **Operator Details**.
3. The User will be asked to verify the deletion, and after clicking **OK**, a confirmation will display indicating the successful deletion.

> **NOTE**: Deleting an Operator ID will result in ALL history being permanently removed for that ID.

Modify/Delete Operator ID and Effective or Expiration Dates



Modify/Delete Operator ID Exchange or Registration Type

To expire, unexpire or modify the effective of expiration date of the Exchange or Registration type:

1. From the search results, select a line item.
2. Modify the date of the current record in the corresponding row of **Registrations** and select **Update**.
3. Use an additional line to enter updated information for the Exchange or Registration type and click **Register**.

   NOTE: The effective and expiration date cannot overlap within the same Exchange.

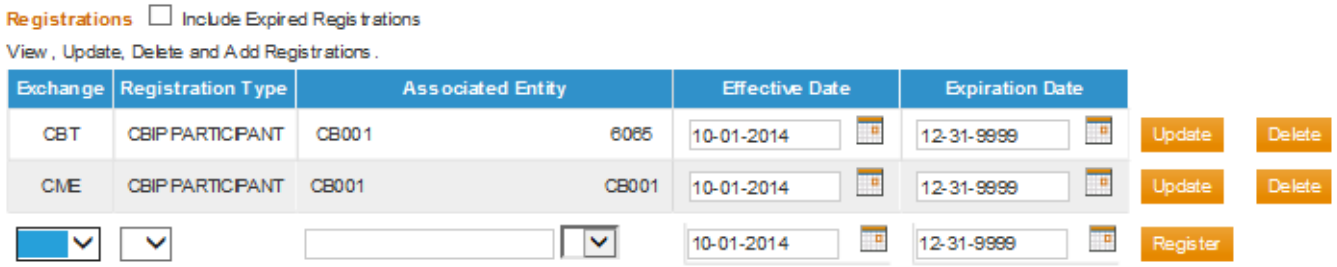
4. To view the expired registration, check the **Include Expired Registrations** checkbox.
5. After clicking **Register**, a confirmation will display indicating the information has been saved.

To delete an Exchange or Registration Type:

1. From the search results, select a line item.
2. Select **Delete** on the corresponding row of **Registrations** to be deleted.
3. The User will be asked to verify the deletion, and after clicking **OK**, a confirmation will display indicating the successful deletion.

   NOTE: Deleting the last Exchange/Registration Type will also delete the ID and result in ALL history being removed for that ID.

Modify/Delete Operator ID Exchange or Registration Types



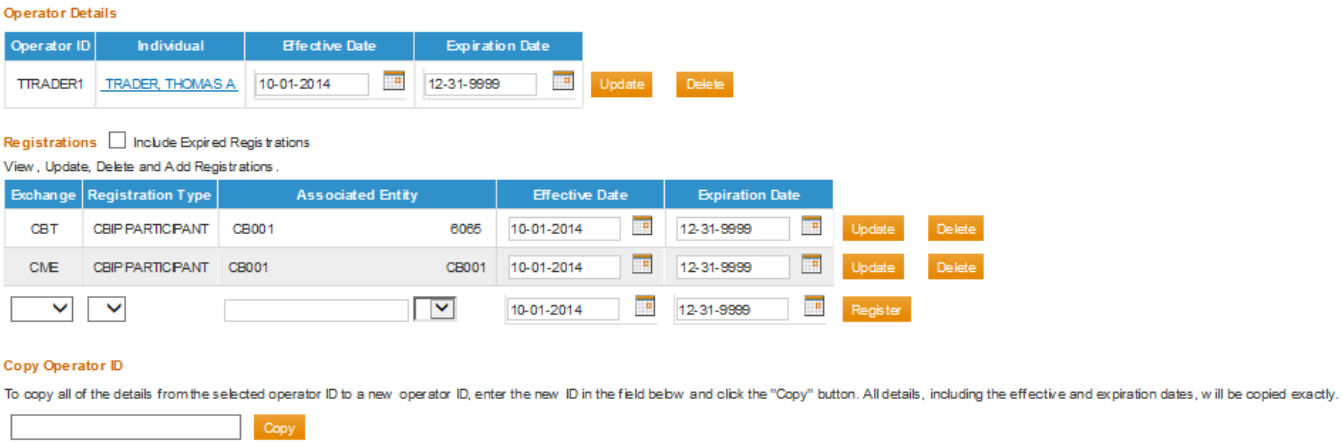
Copy Registered Operator ID

To copy a Registered Operator ID:

1. From the search results, select a line item.
2. To copy all of the details from the selected Operator ID to a new Operator ID (including its associated Exchanges, Registration Types, Effective and Expiration dates) enter the New ID in the **Copy Operator ID** field and click **Copy**. All details will be copied exactly the same.
3. After clicking **Copy**, a confirmation will display indicating the information has been saved.
4. **Operator Details** and **Registrations** will be refreshed with information for the new ID. To make any changes to Effective or Expiration dates or Registration types for the new ID, make the desired change(s) in the corresponding row and click **Update**.

   NOTE: Upon completion of registering the Operator ID, trades will need to be submitted for recalculation manually in the Transaction Viewer when the Operator ID's effective date is earlier than the current business date.

Copy Registered Operator ID



Editing Individuals

To update information for an individual who is currently listed in the guaranteeing firm's individual list, select **Individuals** from the Globex Registration Menu. Input the First and/or Last name in the **Individual Name Contains** field or highlight a name from the drop-down and click **Select**.

Updating Individual Information

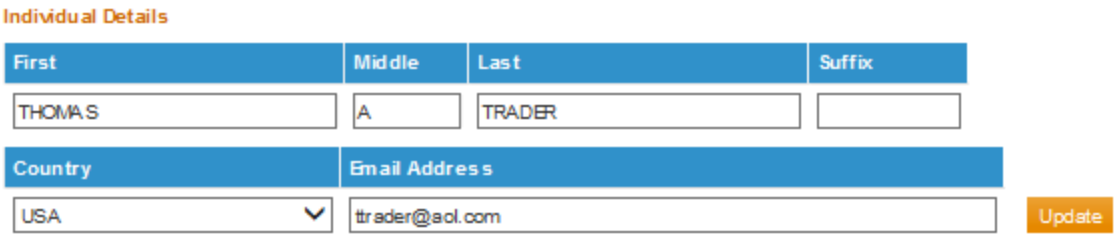
To update an individual:

1. From the Operator Details page, select an individual.
2. Update any of the **Individual Details** fields (First Name, Middle Initial, Last Name, Suffix, Country and Email Address).

   NOTE: Date of Birth is stored in the system but is not displayed on the screen; therefore this field cannot be edited.
3. Click **Update**.
4. The User will receive a confirmation message stating that the information has been saved.

   NOTE: Individual Details for individuals maintained in the CME Membership Database (Members, Clerk for Members and NYMEX Power of Attorney) cannot be edited. Please contact CME Group Membership Department to make updates.

Updating Individual Information



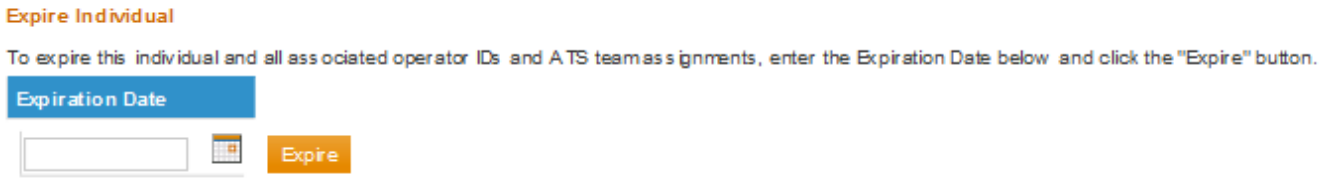
Expire Individual with all associated Operator IDs and ATS Teams

To expire an individual:

1. From the Operator Details page, select an individual.
2. The screen will refresh to display **Individual Details** with **Registered Operator IDs** and **Assigned ATS Teams** for this individual.

3. To expire this individual and all associated Operator IDs and ATS Team assignments, proceed to **Expire Individual**, enter the expiration date and click **Expire**.
4. The User will be asked to verify the expiration, and after clicking **OK**, a confirmation message will display.

   Expire Individual with Associated Operator IDs and ATS Teams


Expire Individual
To expire this individual and all associated operator IDs and ATS team assignments, enter the Expiration Date below and click the "Expire" button.
Expiration Date
Expire

Editing ATS Team Information

To update information for an ATS Team:

1. From the Globex Registration Menu, select ATS Teams.
2. Input the ATS Team Name or highlight an ATS Team name from the dropdown list
3. Click **SELECT**.

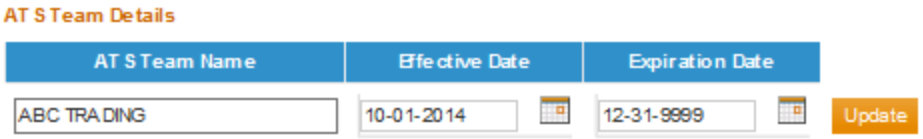
Modify ATS Team Effective/Expiration Dates

To modify an ATS Team effective or expiration dates:

1. Modify the effective or expiration date in **ATS Team Details** and select **Update**.
2. After clicking **Update**, a confirmation message will display indicating the information has been saved.

> **NOTE**: Any active Operator IDs associated with an ATS Team must be expired before the ATS Team can be expired (See Expiring Operator ID).

Modify ATS Team Effective/Expiration Dates

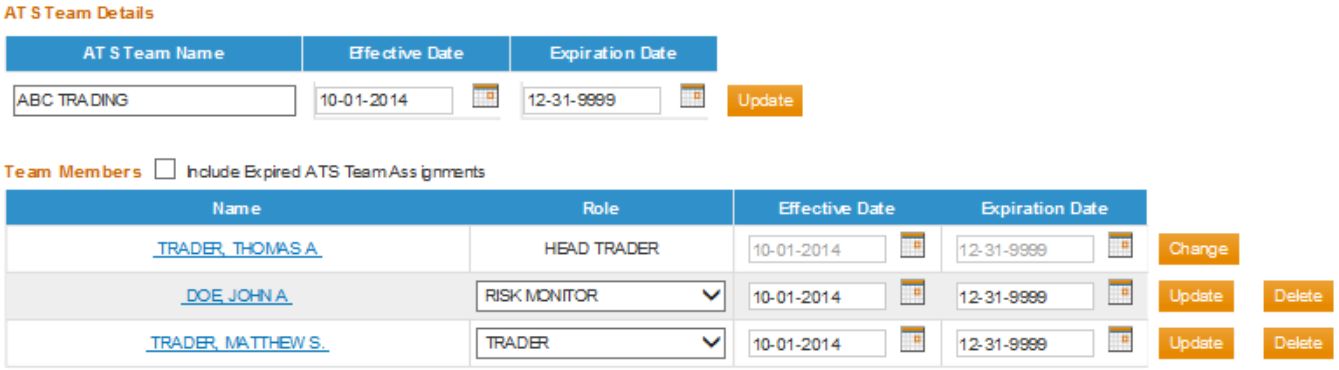


Change Head Trader

To change the existing Head Trader:

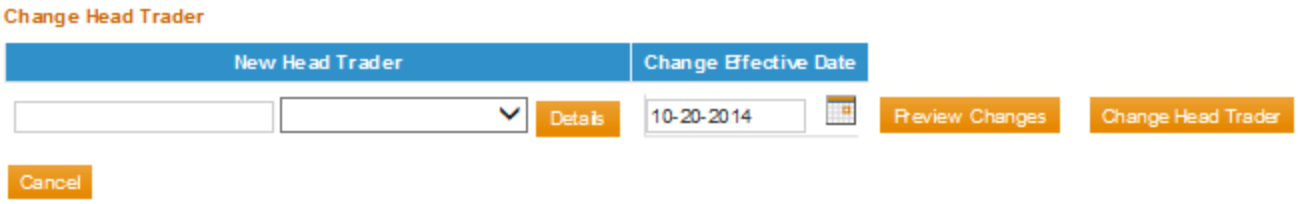
1. Select an ATS Team name.
2. Click **CHANGE** on the Head Trader row in **Team Members**.

   Change Head Trader



3. The screen will refresh to display **CHANGE HEAD TRADER**.
4. Input the name of the new Head Trader in the field.
5. The system will suggest possible matches from the guaranteeing firm's list.
   - If a match is identified highlight that name from the list.
   - To view membership details for the selected Head Trader, click **DETAILS**.
6. Enter the **Effective Date** to indicate when the new Head Trader should be effective. The effective date defaults to the current business day; to select a different date, input the date (MM-DD-YYYY) or click the calendar icon next to the Effective Date field.

   Change Head Trader



7. Click **PREVIEW CHANGES** to display a view of the ATS Team before and after changes, along with a list of Tag50 IDs currently associated with this team.
   - All associated Operators and all team members will be expired. A new ATS Team with the same name and team members will be created as of the new effective date.
8. To continue with the change, click **CHANGE HEAD TRADER**. The User will be asked to verify the change, and after clicking **OK** a confirmation message will display indicating the Head Trader has successfully been changed.

NOTE: The ATS Teams(s) associated with this Head Trader will now display the updated effective date. In order to view the history of this team, select the Include Expired ATS Teams checkbox before selecting the ATS Team Name and select the expired team from the dropdown selection.

Adding, Modifying and Deleting ATS Team Member

To add a new team member:

1. Specify the ATS Team Name to modify.
2. Input the team member's name in the **Team Members** name field or highlight a name from the dropdown list.
   - Before registering the team member, Users will register all of the required personal information in the Individuals screen. See Adding Individuals to the Guaranteeing Firm List.

3. Select a role from the dropdown.
4. Effective and expiration dates must be selected. The effective date defaults to the current business day. The expiration date defaults to 12-31-9999. To select different dates, input the date (MM-DD-YYYY) or click the calendar icon next to the date field.
5. Click **Assign** in the corresponding row and a confirmation message will display indicating that the information has been saved.

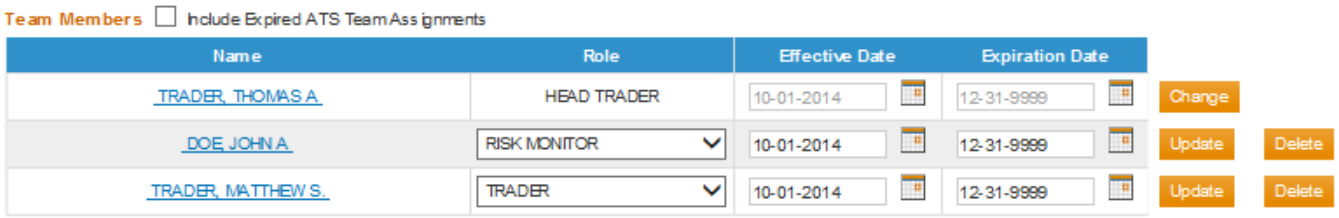
To update a Team Member's Role, Effective or Expiration date:

1. Specify the ATS Team Name to modify.
2. Input an expiration date in the corresponding row for the current role and click **Update**.
3. If updating a role, use the additional row to input the team member's name in the field, and select the new role.
4. Effective and expiration dates must be selected. The effective date defaults to the current business day. The expiration date defaults to 12-31-9999. To select different dates, input the date (MM-DD-YYYY) or click the calendar icon next to the date field.
    - Note that there cannot be a date overlap for the role.
    - Changes to the Head Trader Role can only be made by selecting **Change** in the Head Trader row.
5. A confirmation message will display indicating that the information has been saved.

To delete an ATS Team Member:

1. Specify the ATS Team Name to modify.
2. Click **Delete** on the corresponding row in **Team Members**.
    - Deleting a team member will result in all history being removed for this individual.
3. The User will be asked to verify the deletion, and after clicking **OK** a confirmation message will display indicating that the information has been saved.

Adding, Modifying and Deleting an ATS Team Member



Adjustment

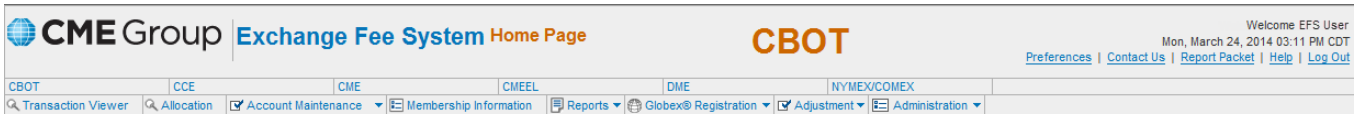
The **Adjustment** screen allows the User to add, edit and view manual fee adjustment requests. Manual fee adjustment requests are used only for scenarios that cannot be updated automatically within the Exchange Fee System (EFS). Any adjustment that CAN be processed through EFS MUST be processed through EFS. This section is for the exception cases only.

NOTE: All adjustment requests are subject to the Adjustment Deadlines/Banking Schedule posted on the EFS Homepage.

The User is encouraged to complete the Adjustment template, located on each Exchange's Homepage, in order to provide the necessary supporting calculation for the adjustment request. Refer to the Adjustment Template Instructions, also located on each Exchange's Homepage, for assistance with completing the template.

Accessing Adjustment

To access the **Adjustment** screen select the option from the navigation menu.

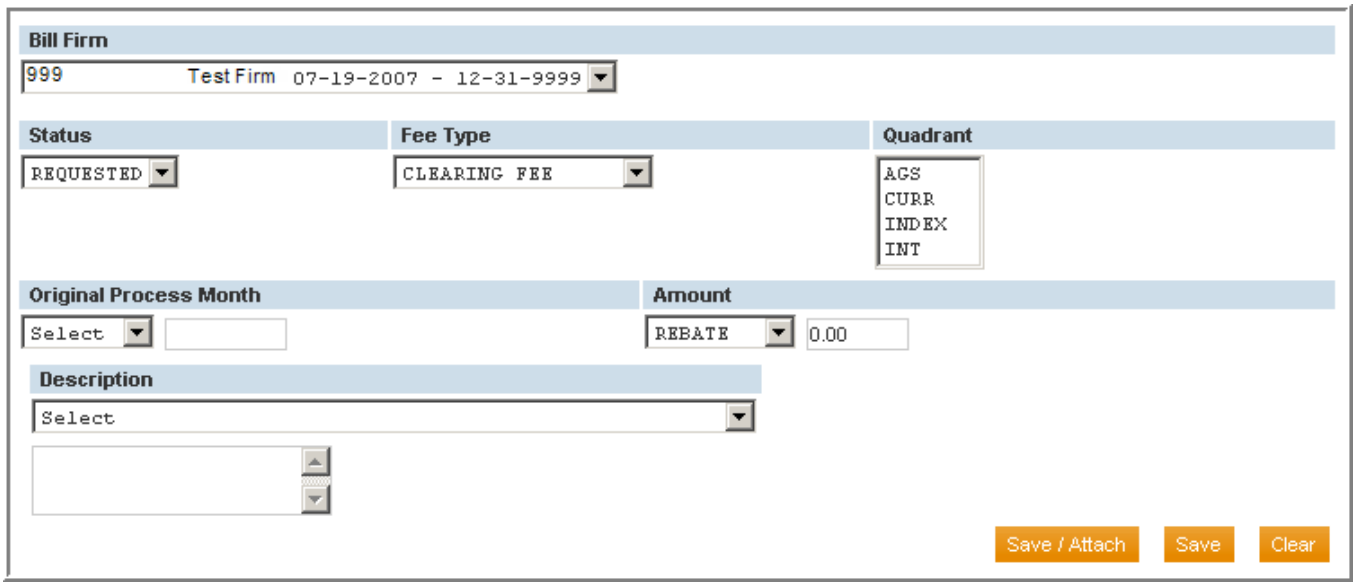


Drop-down Menu:

- **Create** - Select this option to add a new fee adjustment request.
- **Search** - Select this option to edit, or view the status of, existing fee adjustment requests.

Creating an Adjustment

To create an adjustment, select Create from the Adjustment sub menu. The Adjustment screen will display.



Complete the Adjustment request form:

1. Select the **Bill Firm**.
2. **Status** will default to **Requested**.
3. Select the **Fee Type**.
4. Select the product **Quadrant**

NOTE: This displays as Product Venue for NYMEX/COMEX; this field does not apply for DME.

5. Select the **Original Process Month** (MM - YYYY).
6. Enter an **Amount** after selecting whether the adjustment represents a **Rebate** or **Assessment**.
7. Select a reason for the adjustment from the pre-populated drop-down list or type the reason in the **Description** text box.
8. To add an attachment click **Save/Attach**.

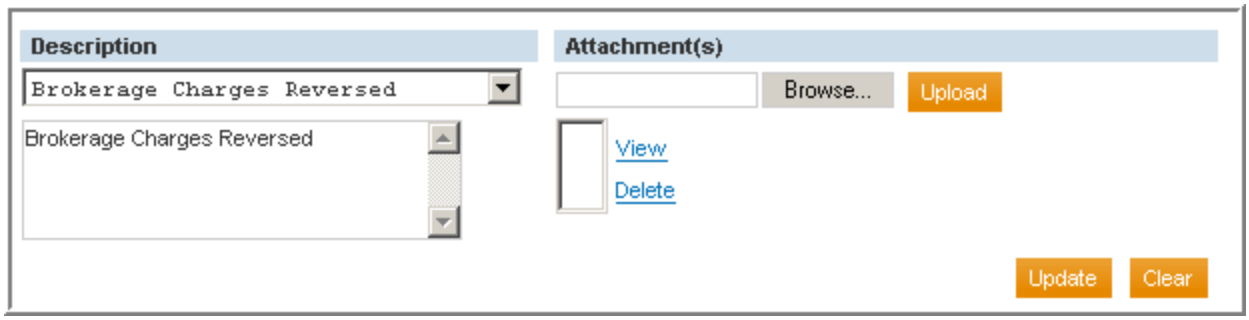
NOTE: Adjustments can only be submitted for the open adjustment period, refer to the EFS Adjustment Deadlines/Banking Schedule located on the homepage.

Adding an Attachment

To add an attachment:

1. Click the **Save/Attach** button. A confirmation message will appear along with the Attachment(s) section.

2. Click **Browse**. The Choose file window will display.

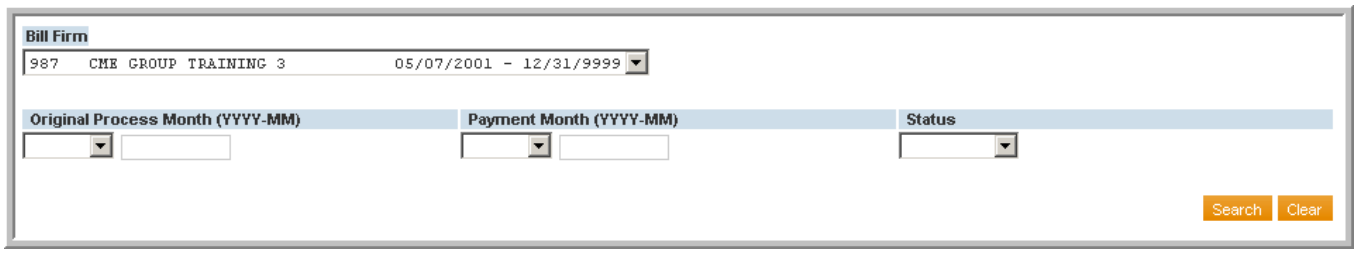


3. Locate and click the file to attach.
4. Click **Open**.
5. Click **Upload**. The filename will appear in the attachment list and a confirmation message will display. Repeat these steps for any additional attachment(s).

6. Click **Update** to complete the attachment process.
    a. To view the file, highlight the file name and click **View**.
    b. To remove the file, click **Delete**.
7. To create another adjustment, click **Clear**.

Searching for Fee Adjustments

To complete a search for an adjustment, select Search from the Adjustment sub menu. The Search Adjustment screen will appear.

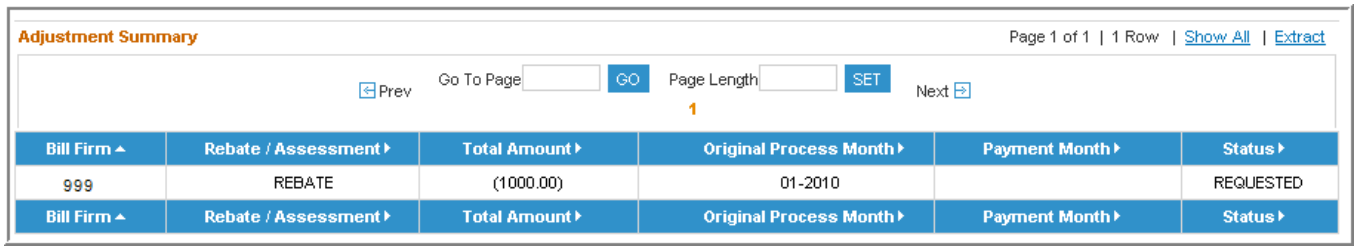


1. Select the **Bill Firm**.
2. Select the **Original Process Month** (YYYY-MM) (optional).
3. Select the **Payment Month** (YYYY-MM) (optional).
4. Select the **Status** (optional).
5. Click **Search**.

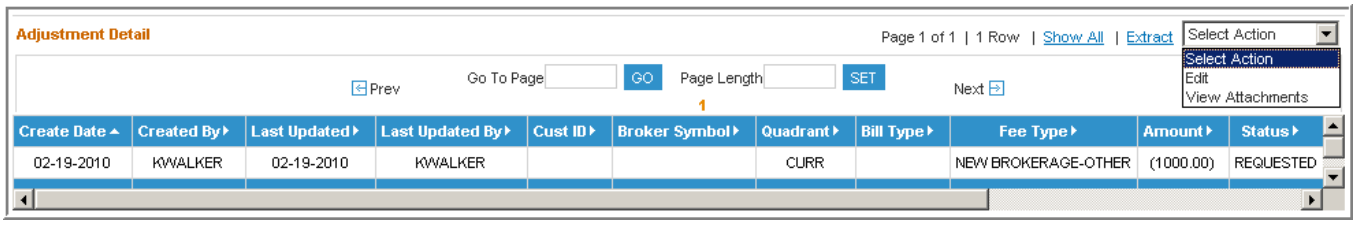
    The Adjustment Summary page will appear. If the User does not select any criteria other than Bill Firm the search will include all adjustments.

    To view the detail of the adjustment, select the Adjustment Summary **line item** to view.

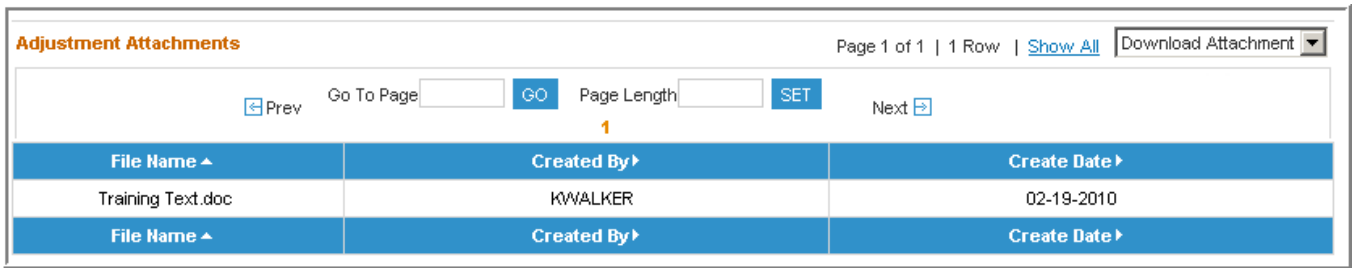
Search results list



The Adjustment Detail will display for the item selected.



6. To view an attachment, select action **View Attachments** and click the line item to view.

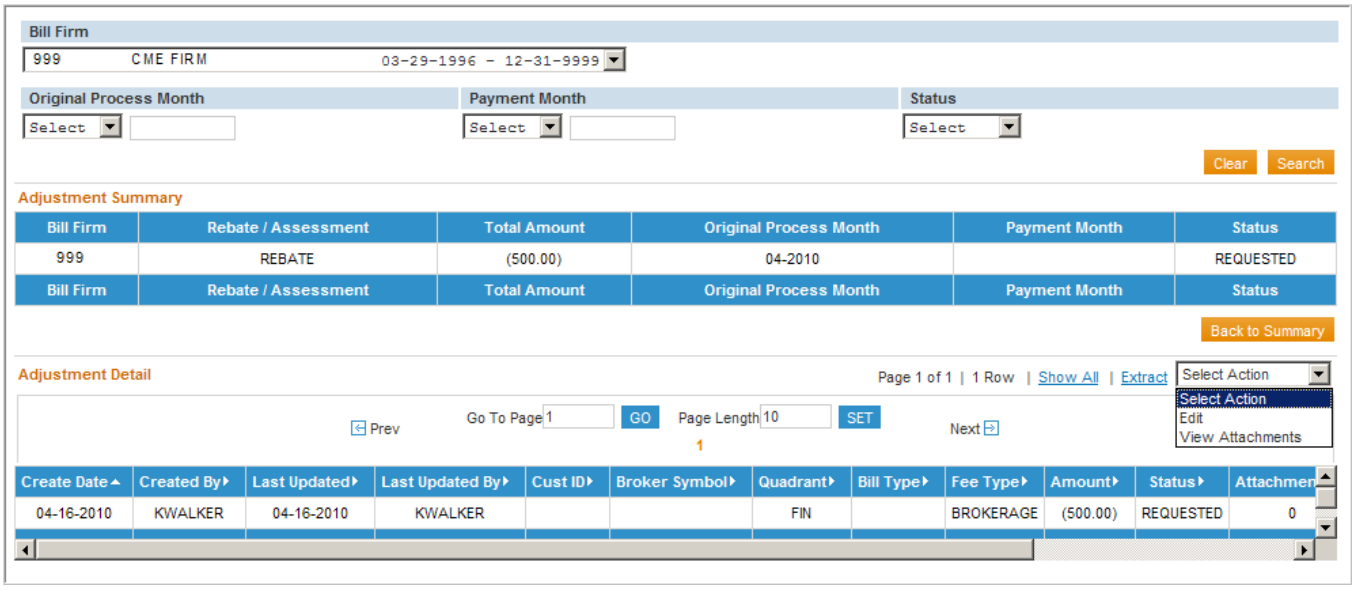


7. To view the attachment details, click the line item. The select action is set to **Download Attachment**.

Editing an Adjustment

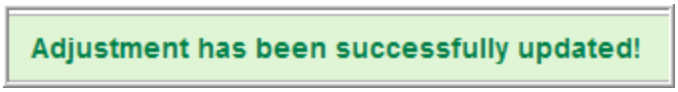
To edit an adjustment, complete an adjustment search. The Adjustment Summary will display the adjustments matching the search criteria entered.

1. Click the line item to edit. The Adjustment Detail will display.
2. Select **Edit** from the Select Action drop-down list.
3. Click the line item to edit in the Adjustment Detail section.



The User will be redirected to the 'Create/Edit Adjustment' screen. Enter the updated information and click the **Update** button.

A confirmation message will display.

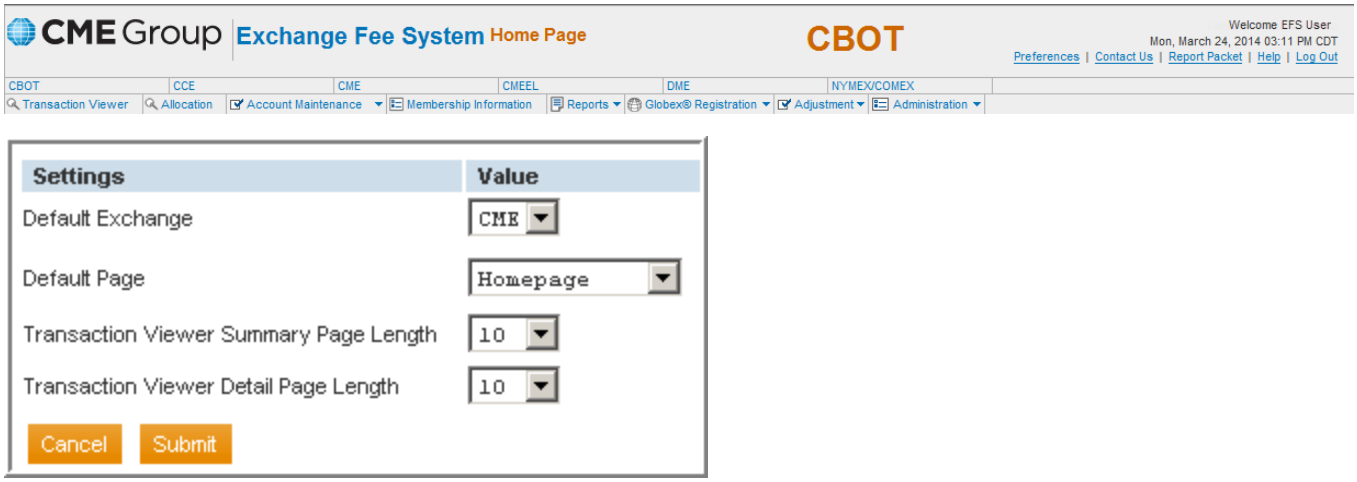


4. To add an attachment click the **Attach** button.

   For additional details,refer to section Adding an Attachment.

Preferences

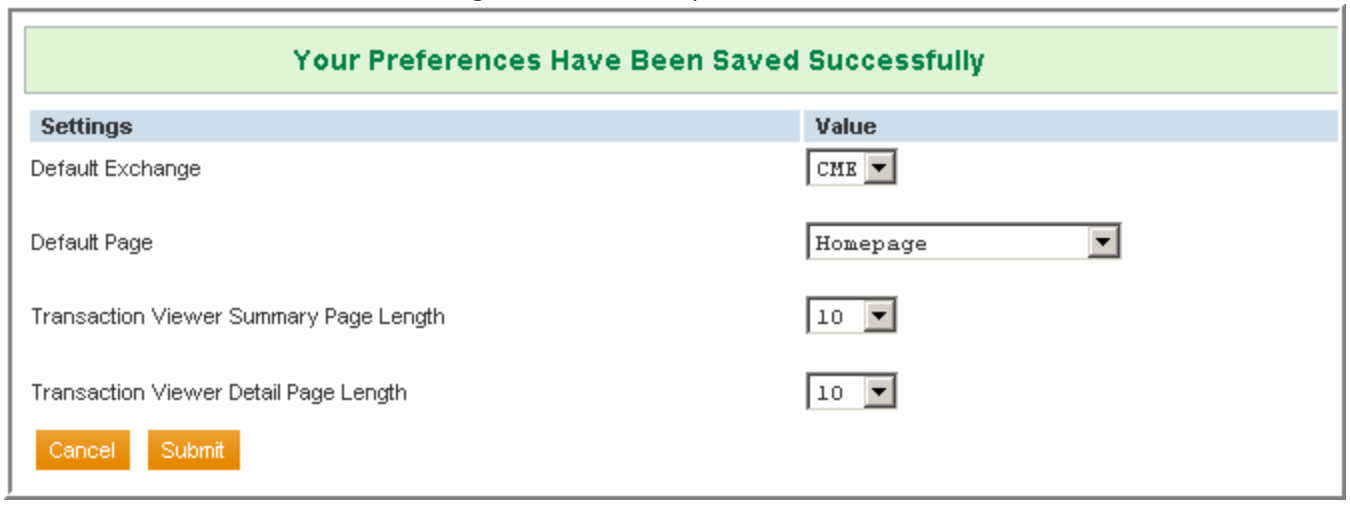
The Preferences section allows the User to edit their personal EFS settings. To access Preferences click the **Preferences** hyperlink, located in the upper right corner. The Preferences screen will display.



To update any of the settings, highlight the selection in the appropriate drop-down list by clicking on the item. Once the selections have been completed, select the **Submit** button.

To cancel out of the screen at any time, select the **Cancel** button.

The User will receive a confirmation message that the selected preferences have been saved.

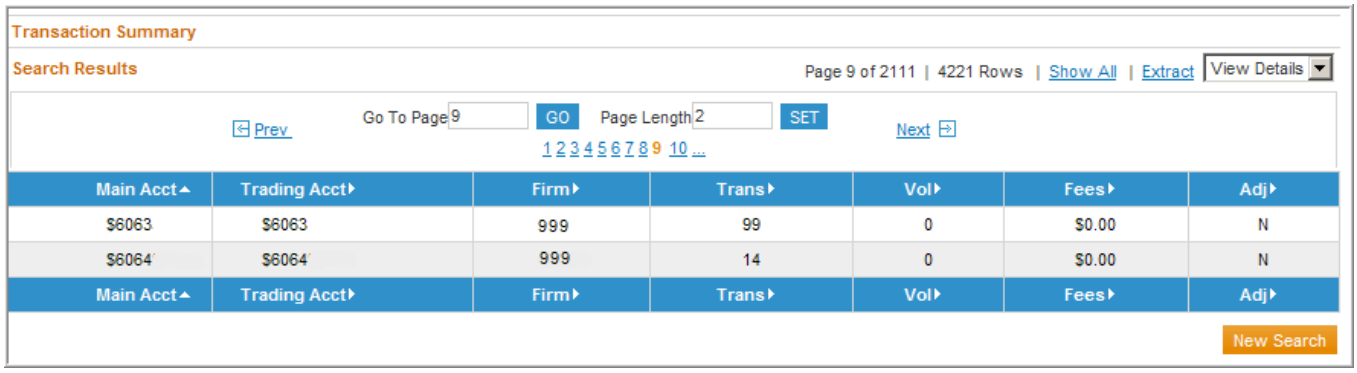


Appendix

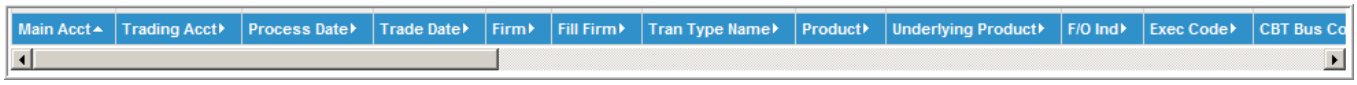
Navigating Data Results

There are multiple ways to navigate through the data results within the EFS screens. If there is only one page of data, some of these options will not be available.

- **Show All** – selecting this hyperlink (located in the upper right-hand corner above the Transaction Summary screen) will change the display to show all transactions on one page. Use the scroll bar on the right of the browser window to scroll through the data.
- **Reset** – this hyperlink will appear after the Show All hyperlink has been selected. Use this to change the display back to show one page of data at a time.
- **Extract** – selecting this hyperlink will extract the data into a text format. Then, open the file in other applications such as Microsoft Excel or Access.
- **Prev and Next** – selecting the previous or next hyperlinks will bring the User to the previous or next page of data.
- **Go to Page** – allows the User to enter a specific page number to view. To use this feature, type in a page number and click the "Go" button.
- **Page Length** – allows the User to select the number of rows of data to see per page. To use this feature, type in a number and click the "Set" button.
- **1 2 3 4 …** - selecting one of these hyperlinks will bring the User to that specific page. To view the next page, click the link displayed as three dots.
- **Sorting Columns** – To sort the column data in ascending or descending order. Select the arrow next to the header of the column to sort. Data can only be sorted by one column at a time.



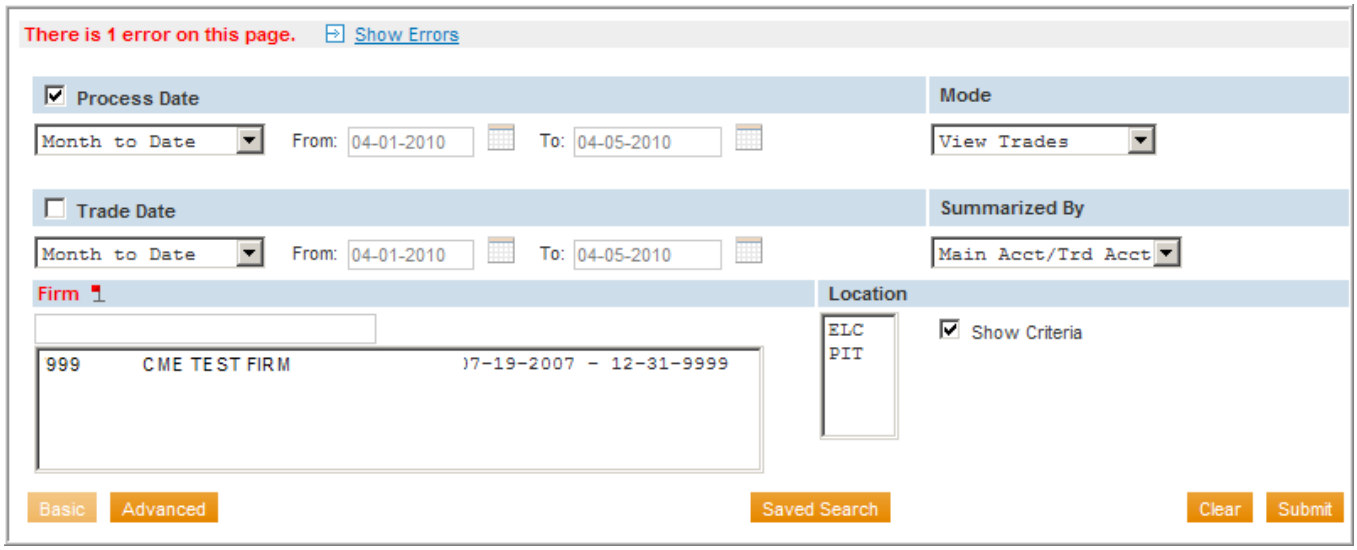
To view all the columns in the search results, use the left/right scroll bar at the bottom of the search results.



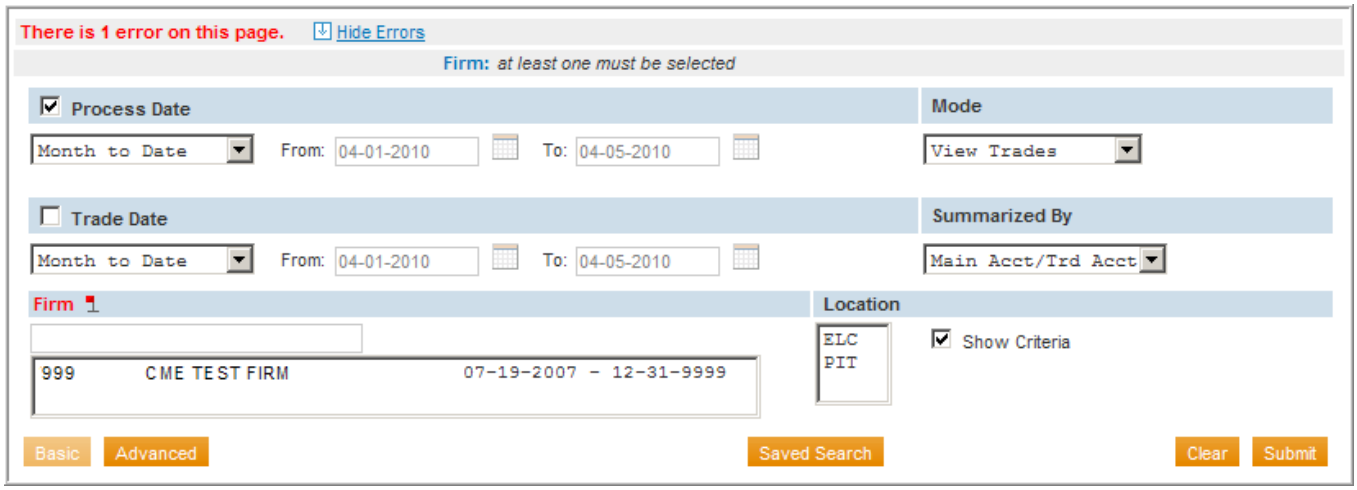
Errors in Selecting Search Criteria

When executing a search, if there were any errors made in selecting search criteria, a message will appear in red at the top of the page stating the number of errors identified.

- A red flag will also display next to the field(s) containing the error(s).
- To see detailed information about the error(s), click the **Show Errors** hyperlink at the top of the Transaction Viewer.



- The details of the error(s) will then be displayed at the top of the page, and changes can be made to the search screen to correct the error(s).
- To hide the error details, click the **Hide Errors** hyperlink.



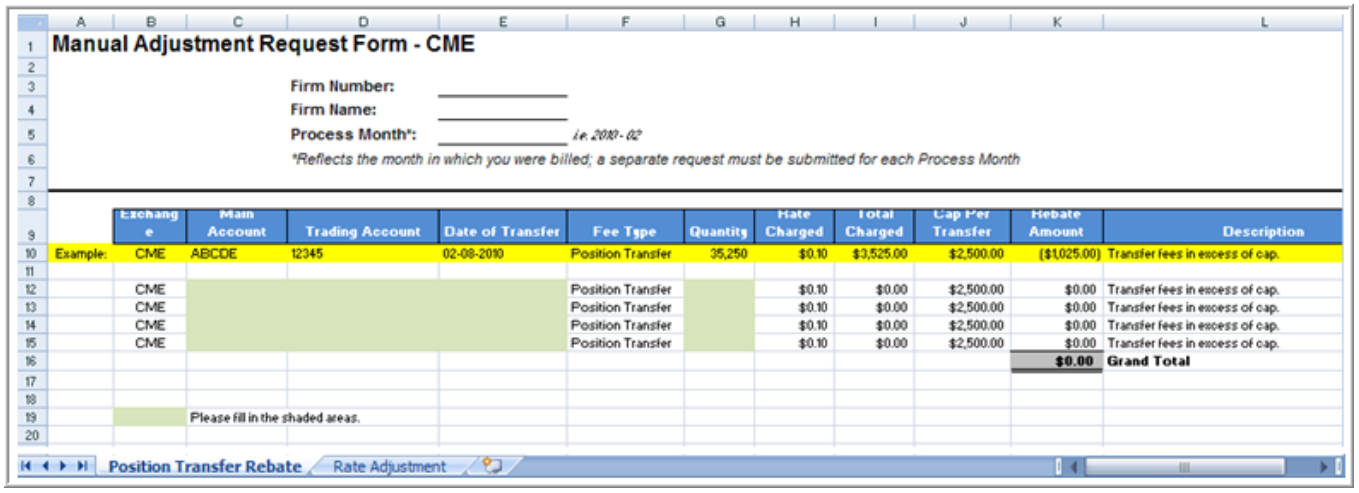
Manual Fee Adjustment Instructions

The Manual Fee Adjustment template is used for submitting adjustment requests for scenarios that cannot be updated automatically within the Exchange Fee System (EFS).

Downloading the Fee Adjustment Template

The Manual Fee Adjustment Template for each Exchange is located on the Exchange's homepage. Click on the hyperlink 'Adjustment Template' to download the template. The Fee Adjustment template has two types of worksheets: **Position Transfer Rebate and Rate Adjustment**.

- The Position Transfer Rebate template should be used to request an adjustment associated with position transfer fees charged in excess of any applicable caps, which are not automated within EFS. Note: This worksheet is not applicable for DME.
- The Rate Adjustment template should be used to request an adjustment associated with incorrect rates applied that cannot be updated within EFS. Note: any adjustment that CAN be processed through EFS MUST be processed through EFS. This template is for the exception cases only.



Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ i.e. 2010-02

*Reflects the month in which you were billed; a separate request must be submitted for each Process Month

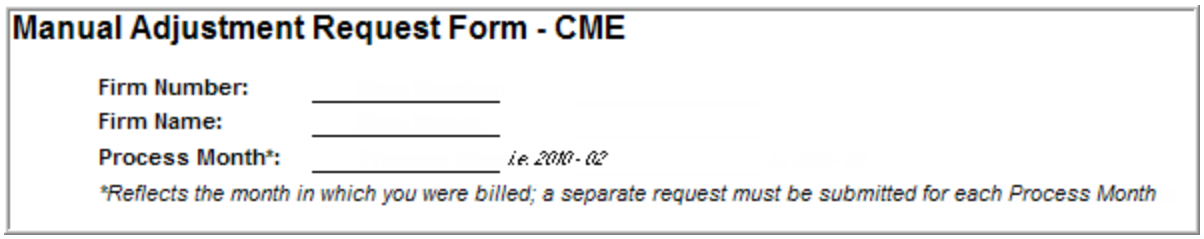
	Exchange	Main Account	Trading Account	Date of Transfer	Fee Type	Quantity	Rate Charged	Total Charged	Cap Per Transfer	Rebate Amount	Description
Example:	CME	ABCDE	12345	02-08-2010	Position Transfer	35,250	$0.10	$3,525.00	$2,500.00	($1,025.00)	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
	CME				Position Transfer		$0.10	$0.00	$2,500.00	$0.00	Transfer fees in excess of cap.
										$0.00	Grand Total

Please fill in the shaded areas.

Position Transfer Rebate | Rate Adjustment

Entering data into the Position Transfer Rebate worksheet

1. Select the Position Transfer Rebate **worksheet**.
2. Enter the **Firm Number**, **Firm Name** and **Process Month** (YYYY - MM).



Manual Adjustment Request Form - CME

Firm Number: _____

Firm Name: _____

Process Month*: _____ i.e. 2010-02

*Reflects the month in which you were billed; a separate request must be submitted for each Process Month

3. Continue to enter the appropriate information in the shaded areas (refer to example highlighted in yellow).

Field	Cell	Description
Main Account	C 12	A 'grouping account' created by firms to associate trading accounts with identical account ownership; enter the Main Account where the positions reside.
Trading Account	D 12	The trading account received from CME Clearing; enter the trading account where the positions reside.
Date of Transfer	E 12	The date the position was transferred.
Quantity	G 12	Quantity of positions transferred.

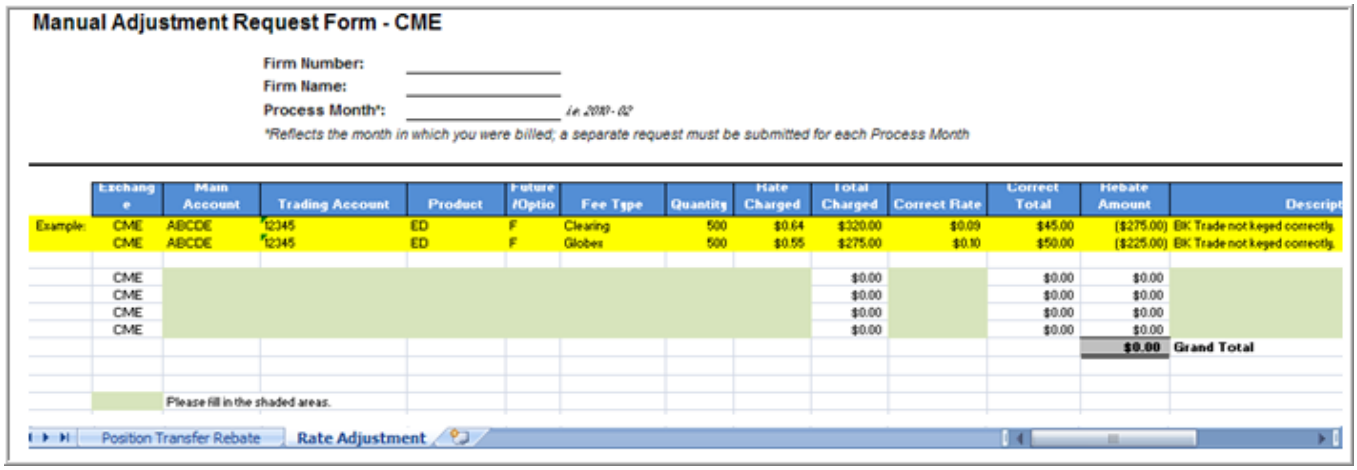
For any additional line items repeat step 3.

4. After completing the Manual Adjustment Request worksheet; save the adjustment template.

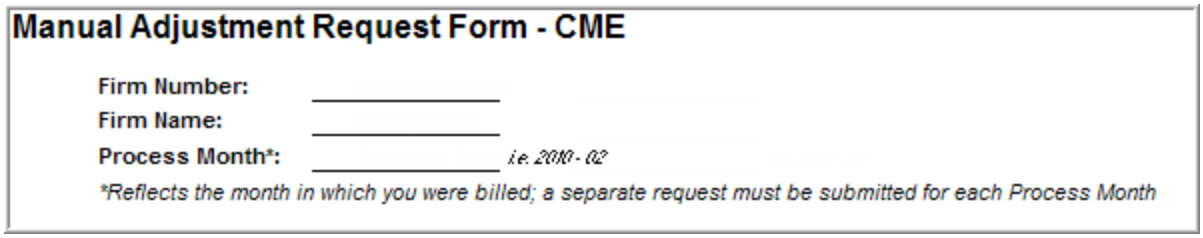
NOTE: The adjustment worksheet will need to be attached to the manual adjustment request submitted through the Adjustment screen.

Entering data into the Rate Adjustment worksheet

1. Select the Rate Adjustment **worksheet**.


Manual Adjustment Request Form - CME
Firm Number:
Firm Name:
Process Month*:
i.e. 2008-02
*Reflects the month in which you were billed; a separate request must be submitted for each Process Month
Exchange
Main Account
Trading Account
Product
Future /Optio
Fee Type
Quantity
Rate Charged
Total Charged
Correct Rate
Correct Total
Rebate Amount
Descript
Example:
CME ABCDE 12345 ED F Clearing 500 $0.64 $320.00 $0.09 $45.00 ($275.00) EBK Trade not keyed correctly.
CME ABCDE 12345 ED F Globex 500 $0.55 $275.00 $0.10 $50.00 ($225.00) EBK Trade not keyed correctly.
CME $0.00 $0.00 $0.00
CME $0.00 $0.00 $0.00
CME $0.00 $0.00 $0.00
CME $0.00 $0.00 $0.00
$0.00 Grand Total
Please fill in the shaded areas.
Position Transfer Rebate
Rate Adjustment

2. Enter the **Firm Number**, **Firm Name** and **Process Month** (YYYY - MM).


Manual Adjustment Request Form - CME
Firm Number:
Firm Name:
Process Month*:
i.e. 2008-02
*Reflects the month in which you were billed; a separate request must be submitted for each Process Month

3. Continue to enter the appropriate information in the shaded areas (refer to example highlighted in yellow).

Field	Cell	Description
Main Account	C 13	A 'grouping account' created by firms to associate trading accounts with identical account ownership; enter the Main Account associated with the adjustment request.
Trading Account.	D 13	The trading account received from CME Clearing; enter the trading account associated with the adjustment request.
Product	E 13	Product Code
Futures/Options	F 13	• F (Futures) • O (Options)
Fee Type	G 13	See Appendix I for a list of Fee Types.
Quantity	H 13	Quantity to be adjusted.
Rate Charged	I 13	Rate charged that was deemed incorrect.
Correct Rate	K 13	Please refer to the applicable Exchange's Fee Schedule to identify the correct rate.
Description	N 13	Description of the reason for the adjustment request.

For any additional line items repeat step 3.

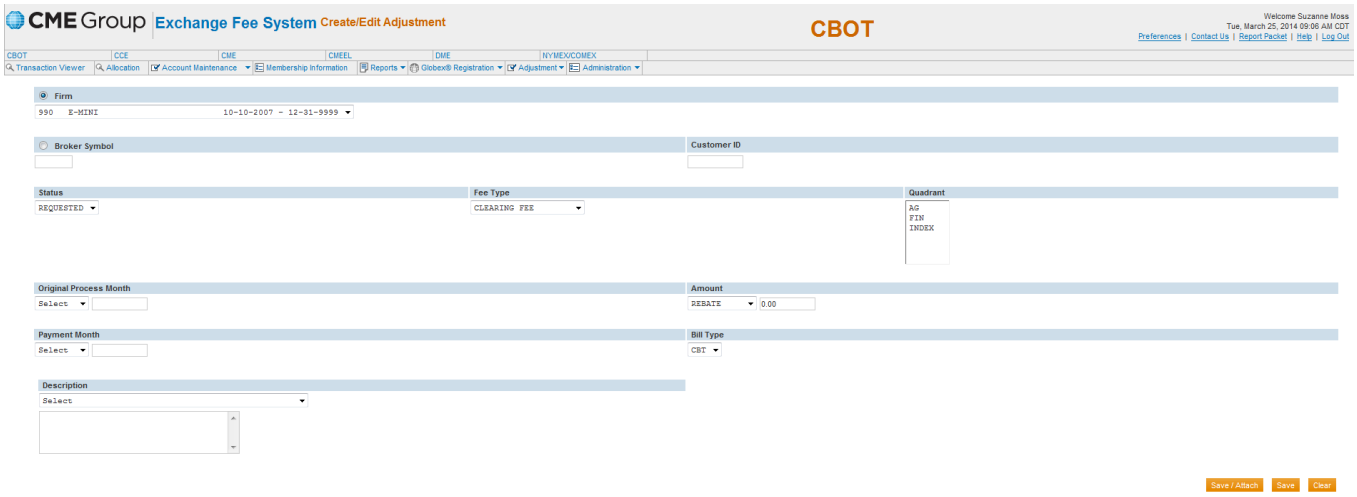
4. After completing the Manual Adjustment Request worksheet; save the adjustment template.

> **NOTE**: The adjustment worksheet will need to be attached to the manual adjustment request submitted through the Adjustment screen.

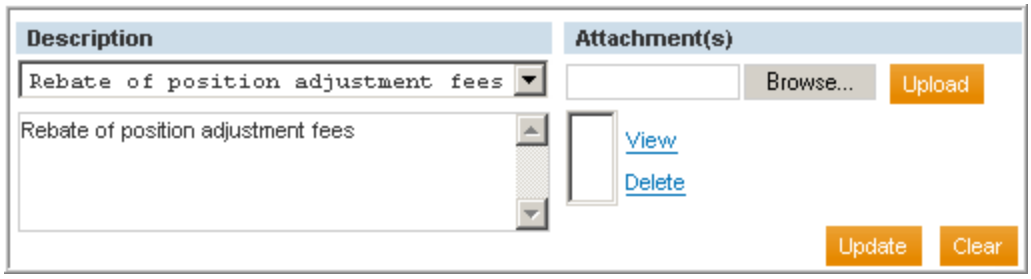
Attaching the Manual Adjustment Worksheet Template

To submit the manual adjustment request and attach the completed template, go to the **Adjustment** screen within the appropriate Exchange. Complete the Adjustment request:

1. Select the **Bill Firm**.
2. **Status** will default to Requested.
3. Select the **Fee Type**.
4. Select the product **Quadrant** (Note: This displays as **Product Venue** for NYMEX/COMEX; this field does not apply for DME).
5. Select the **Original Process Month** (MM - YYYY).
6. Enter an **Amount** after selecting whether the adjustment represents a Rebate or Assessment.
7. Select a reason for the adjustment from the pre-populated drop-down list or type the reason in the **Description** text box.
8. To add an attachment click **Save/Attach**.

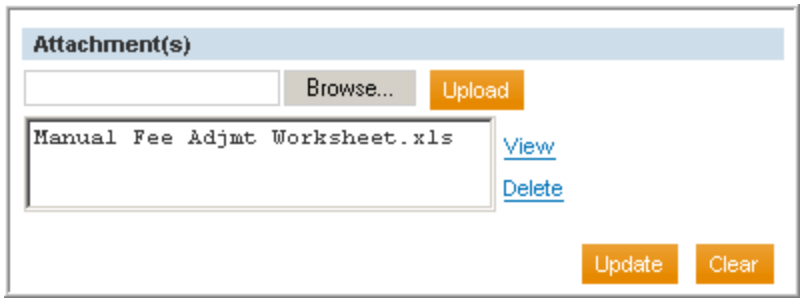


After selecting the **Save/Attach** button, an Attachment(s) section will display.

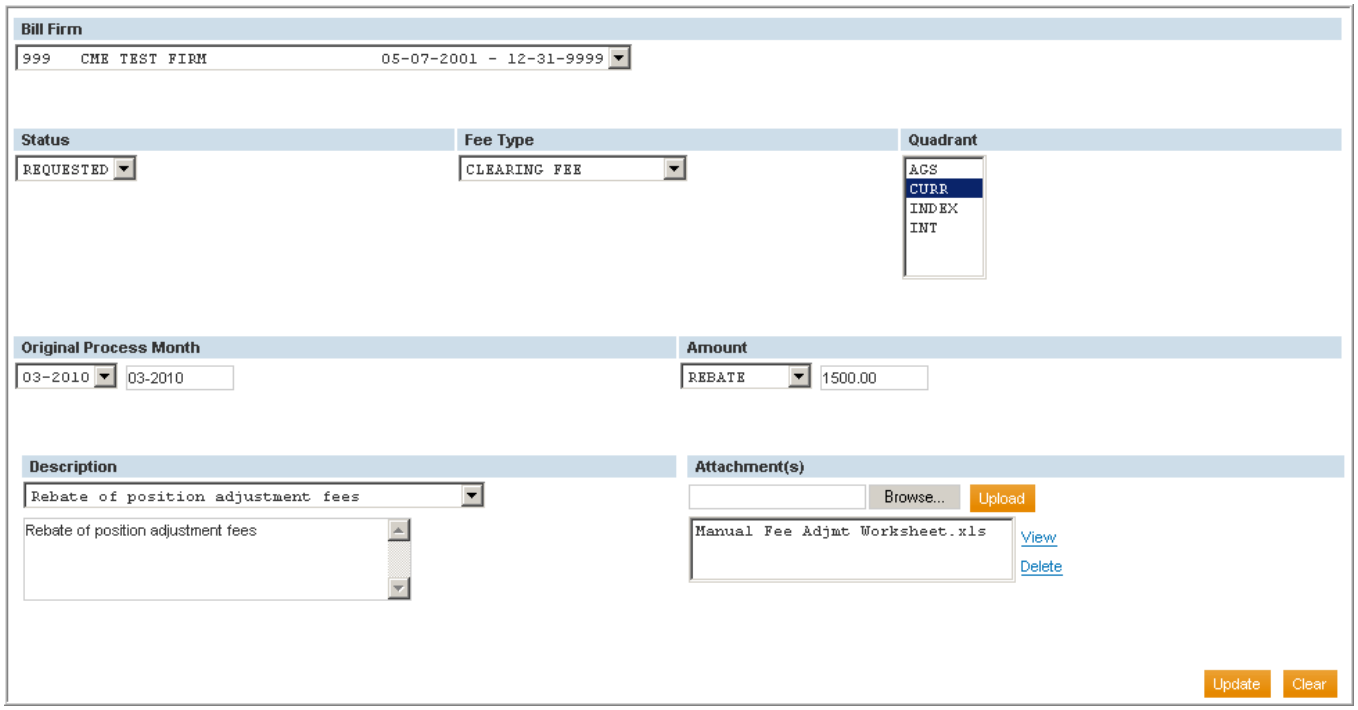


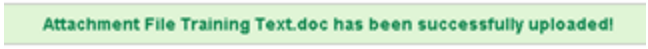
9. Click **Browse**. The Choose file window will display.
10. Locate and click the saved file.
11. Click **Open**.
12. Click **Upload**.

The filename will appear in the attachment list. Repeat these steps for any additional attachment(s).



After completing the Manual Fee Adjustment screen, click **Update** to save the adjustment request with the attachment (s). A confirmation message will display that the Adjustment has been updated.





Fee Types

Field Name	Definition	
Fee Type	Clearing Fees	Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee
	Exchange Fees	Exchange Fee, Exchange Fee-NonTrd
	Exchange Fee	PIT, Exchange Fee – GBX, Exchange Fee – CPC, Day Credit, Cash Settlement, E/A/D Notice, Ex-Pit Movement, Lessee Surcharge
	Ex-Pit	EFP Surcharge, Fung Surcharge, EFS Surcharge and Block Surcharge

Field Name	Definition	
	Surcharges	**NOTE**: Surcharges are associated with Exchange Fees for billing purposes.
	Brokerage Fees	Brokerage, 106F Brokerage and 106F Brokerage Individual (Brokerage Fees are billed to Broker)
	Globex Fees	Globex Fee
	Facilitation Fee	Facilitation Desk Fees

Field Definitions

Basic Field Name Definitions

Field Name	Description	
Operator ID	The Operator ID (also known as TAG 50) is required on all orders entered through CME Group's iLink connections. The ID registered must be unique for each individual operator at the clearing firm level across Exchanges, and may be a maximum of 18 characters.	
Guaranteeing Firm	This is the firm that guarantees the trades for a particular ID (This is equivalent to the Class A Clearing Firm under which the Trader's trades clear.	
Exchange	The Exchange indicator identifies the products a trader will be trading. Listed below are the available codes and corresponding exchange. • CBT - CBOT • CME - CME • NYX - NYMEX **Note**: Only one product exchange can be processed at a time.	
Registration Type	**106.H entity (CME Only)**	An individual trading for a firm that is an approved 106.H entity.
	Asia-Pacific Entity	An individual trading for a firm that is a registered participant in the Asian Incentive Program (AIP).
	CBIP Participant	An individual trading for a firm that is a registered participant in the Central Bank Incentive Program (CBIP)
	Clearing Member Firm Trader	An individual trading on behalf of an Exchange Member Firm. When the User selects this user type, a Trader Type sub-category will also need to be chosen. The trader types that an individual may be classified under are as follows: • Registered Commodity Trading Advisor (CTA) • Independent Contractor receiving a 1099-MISC • Owner of the firm with at least $250,000 invested in the firm

Field Name	Description	
		• W-2 employee of that clearing firm
	Clerk for Member	(CME and CBOT Only) A clerk who acts in an order filling capacity for an individual member. The Clerk must be registered with the CME Group Membership department. NOTE: If a Member is also a Clerk, they should be registered under this category. The appropriate rates will be applied when the individual is trading for his/her own account.
	CTA/ Hedge Fund IP Participant	A CME (only) individual trading for a firm that is a registered participant in the CTA Hedge Fund Incentive Program.
	Electronic Corp Member (106R)	(CME Only) An individual trading for a firm that is registered as an Electronic Corporate Member (ECM-Holding/ECM-Waiver).
	EMBIP Participant	An individual trading for a firm that is a registered participant in the Emerging Markets Bank Incentive Program.
	FMIP Participant	An individual trading for a firm that is a registered participant in the Latin American Fund Manager Incentive Program (FMIP).
	IIP Participant	An individual trading for a firm that is a registered participant in the International Incentive Program (IIP).
	IVIP Participant	An individual trading for a firm that is a registered participant in the International Cross-Asset Volume Incentive Program (IVIP).
	LACIP Participant	An individual trading for a firm that is a registered participant in the Latin American Commercial Incentive Program (LACIP).
	LAPTIP Participant	An individual trading for a firm that is a registered participant in the Latin American Proprietary Trading Incentive Program
	Member	The individual is a CME Group member whom is currently holding a membership.
	Non-Member/ Customer	The individual does not qualify for any of the other registration categories and therefore, receives non-member rates.
	NYMEX/COMEX Electronic Growth Transition Program	A NYMEX (only) individual that is a registered participant in the NYMEX/COMEX Energy and Metals Non-Member Incentive Program
	Power of Attorney	(NYMEX Only) An individual who has been granted POA of electronic trading discretion. The individual must be registered with the CME Group Membership department.
	106.H Entity	(CME Only) An individual trading for a firm registered as a Rule 106.H Corporate Member.
Effective Date	This is the date that the value in the selected field became effective. **NOTE**: The default date will be the current business day when registering a new User ID.	
Expiration Date	This is the date that the value in the selected field was expired. NOTE: The expiration date will default to 12-31-9999 when registering a new User ID. This date just means that this will be the active Operator ID.	

Field Name	Description	
	There is no set expiration date at the time of registration.	
Incentive Indicator	This indicates whether the Operator ID is associated with one of the CME Fee Incentive Programs:	
	None (default)	Operator ID is not associated with an incentive program.
	NTIP	Operator ID is trading for a registered participant in the New Trader Incentive Program (NTIP) which allows fee discounts to new traders associated with proprietary trading firms and trading arcades located in countries outside the USA and Canada.

Advanced Search Field Definitions

Field Name	Description	Values
Guaranteeing Firm	This is the firm that guarantees the trades for a particular ID	
Operator ID Details	Field identifies the executor's Operator ID, also referred to as the TAG 50 ID for electronic activity.	• Operator ID • Effective Date • Expiration Date • Last Traded Date • Created Date • Created By • Last Modified Date • Last Modified By
Individual Information	Field identifies the electronic trader's personal information	• First Name • Last Name • Broker Symbol • Email Address
Registration Attributes	Field identifies elements of the Operator ID specific to Associated Entity, Exchange, Registration Type or Incentive Program Status	• Associated Entity • Exchange • Registration Type • Registration

Field Name	Description	Values
		Type Effective Date • Registration Type Expiration Date • Registration Created Date • Registration Created By • Registration Last Modified Date • Registration Last Modified By • Trading Location • Trader Type • NTIP Indicator • NTIP Site Name • NTIP Effective Date • NTIP Expiration Date
ATS Details	Field identifies elements of the ID associated with an Automated Trading System Team	• Team Name Indicator